**AEC Project and Permit Application**

**Use of Animals for Scientific Purposes**

To be used by all Investigators undertaking work using animals including:

* *Researchers* applying for, or seeking renewal of, ethics approval to undertake research involving the use of animals; and
* *Coordinators* of units with *teaching activities* which involve the use or care of animals.

If conducting research on wildlife, please use the *AEC Project and Permit Application, Use of Animals for Scientific Purposes, WILDLIFE* form.

All Investigators and Participants must be familiar with the appropriate legislation covering their work and the National Health and Medical Research Council (NHMRC) (2013) [*Australian code for the care and use of animals for scientific purposes*](https://www.nhmrc.gov.au/guidelines-publications/ea28)(the Code).

Please refer to the *Guide to Completing the CDU AEC Project and Permit Application* prior to completion of this form.

Pre-submission review of your application by the CDU Animal Welfare Officer (AWO) is recommended. Please contact the AWO on 08 8946 6498 or ethics@cdu.edu.au at least 2 weeks prior to the submission deadline.

Submit a completed and signed electronic version together with the *CDU AEC Animal Usage Spreadsheet*,and relevant references and standard operating procedures (SOPs) to ethics@cdu.edu.au by the [submission deadline](http://www.cdu.edu.au/research/ori/animal-ethics).

Please confirm that the following items:

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| A complete declaration and disclosure form has been attached for the Principal Investigator (Form A), and for each participant listed at item 1.2 who is a co-investigator or person performing animal work unsupervised (Form B). These are legal declarations and must be completed in full.  | [ ]  |
| You (or your organisation) hold a valid *Licence to use premises for teaching or research involving animals* issued by the NT Animal Welfare Authority, and you have supplied the licence number and expiry date at item 1.4  |[ ]
| You have supplied all relevant supporting information (this may include but is not limited to: Parks and Wildlife permit number, Medicines and Poisons Control permit, Lethabarb training certificate, interstate scientific use licence details, Firearms permit, Standard Operating Procedures, animal monitoring sheet with defined intervention points)  |[ ]
| An Animal Usage Spreadsheet using the template supplied on the CDU AEC website has been attached as a separate excel file.  |[ ]
| The completed project application has been sighted by a representative of the licensee and the declaration at item 6.3 completed. |[ ]

Please note that failure to supply the above information may result in delay in the processing of your application.

NOTE: the AEC includes members from a range of different backgrounds, please avoid unnecessary scientific terminology and give a plain English (lay) description of scientific procedures.

SECTION 1: ADMINISTRATION

1.1 Title of Project

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1.2 Investigators and Participants

NOTE: Postgraduate research or other students cannot be the Principal Investigator

Refer to the *Guide to Completing the CDU AEC Project and Permit Application* for definitions of Principal Investigator, Co-Investigator and Participant.

**Principal Investigator**

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Principal Investigator to complete Form A (see 6.1)

**List of Co-Investigators/Other Participants**

Insert new rows if required. All Co-Investigators (persons performing work with animals unsupervised) must complete Form B (see 6.2)

|  |  |  |
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| **Participant Category** | **Name** | **Form B Declaration Attached?** |
| Choose an item. |  | Yes [ ]  No [ ]  |
| Choose an item. |  | Yes [ ]  No [ ]  |
| Choose an item. |  | Yes [ ]  No [ ]  |
| Choose an item. |  | Yes [ ]  No [ ]  |

1.3 Renewals, Resubmissions and Reapplications

Is this project:

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| --- | --- | --- |
| i) A new project? | [ ]  Yes | [ ]  No |
| ii) A renewal of an existing project? | [ ]  Yes | [ ]  No |
| iii) The resubmission of a revised/rejected project? | [ ]  Yes | [ ]  No |
| If ‘yes’ to ii) or iii), what was the AEC Project title and number for the original submission? |
| iv) Has an application for this project/experiment previously been submitted to another AEC? | [ ]  Yes | [ ]  No |
| If yes to iv), what was the name of the AEC?What was the outcome of the project’s review (approved/rejected/other)? |

1.4 Lead Institution’s NT Animal Research Licence No/Expiry:

*Choose an item.*

1.5 Type of Project: *Choose an item.*

1.6 Research Category: *Choose an item.*

Refer to Appendix 1.

1.7 Project Duration:

A maximum of 4 years approval can be requested.

Preferred commencement date:

Duration of project (years):

1.8 Funding of Project:

Source of Funding: *Click here to enter text.*

Duration of Funding: *Choose an item.*

Status of Funding: *Choose an item.*

If the funding application is not successful, will the project still go ahead? [ ]  Yes

 [ ]  No

 [ ]  NA

1.9 Are the results to be published? [ ]  Yes

 [ ]  No

 [ ]  NA

If “No”, please explain why not.

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1.10 Other Licenses and Permits

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| **i) Does this project involve the use of native species?** | [ ]  Yes | [ ]  No |
| If ‘Yes’ provide the Parks and Wildlife or Fisheries (or equivalent if taking place in another state) Permit No. and expiry (or status of a Permit application). |  |
| **ii) Does this project involve the importation of animals or other biological agents?** | [ ]  Yes | [ ]  No |
| If ‘Yes’ provide the Department of Agriculture & Water Resources Import Permit No. or status of the application. |  |
| **iii) Are prescription or controlled drugs (S4 or S8) used in this project?**  | [ ]  Yes | [ ]  No |
| If ‘Yes’ provide a copy of the Medicines and Poisons Control Permit or status of Authorisation application. List the drugs approved for use: |  |
| **iv) Does this project involve the use of genetic technology or genetically modified organisms?** | [ ]  Yes | [ ]  No |
| If ‘Yes’ provide the Biosafety Committee approval No. *(NLRD,DNIR etc)*  |  |
| **v) Does this project involve the use of Unmanned Aerial Vehicles (i.e. drones)?**If ‘Yes’ please provide details of any required permits/licences or training (e.g. Civil Aviation Safety Authority, NT Parks & Wildlife).If ‘Yes’, is this project subject to Defence Trade Controls?*(*<https://www.cdu.edu.au/research/ori/defence-trade-controls>*)* | [ ]  Yes | [ ]  No |
|  |  |
| [ ]  Yes | [ ]  No |
| **vi) Is any part of this project carried outside of the Northern Territory?**If ‘Yes’ list all states, territories and countries where work will be carried out. Provide scientific use licence numbers and expiry dates for all states/territories other than the NT. For CDU Researchers conducting work outside of the NT Only: I confirm that I have contacted the Animal Welfare Officer regarding CDU licenses. I confirm that I am aware of the licence conditions for the state where work will be conducted. | [ ]  Yes | [ ]  No |
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|  [ ]  Yes [ ]  No |

SECTION 2: JUSTIFICATION FOR ANIMAL USE

The [*Australian code for the care and use of animals for scientific purposes*](https://www.nhmrc.gov.au/guidelines-publications/ea28) states that “Animal experiments may only be performed when the scientific merit justifies the use of animals”. The answers provided are crucial for the assessment of the scientific merit of the project and the justification of animal use. Your answers in this section should be given in lay terms.

2.1 Glossary of terms

Provide a list, including definitions, for any technical terms and acronyms to assist the Animal Ethics Committee (AEC) to understand the application:

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2.2 What is the aim of the project?

What do you hope the project will establish or achieve that is different to what is already known/established?

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2.3 Describe the project.

Briefly, explain what you are trying to demonstrate/the hypothesis that the project is testing, including the use of the animals in this project. For example, *the work is designed to define whether the use of local anaesthesia prior to dehorning cattle significantly increases post-dehorning weight gains over a 40-day period* (i.e. validity of the work, more details can be provided in Section 4).

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2.4 Comment on the *significance* of this project.

How is the impact on the animals justified in relation to the outcomes the project has been designed to deliver?

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2.5-2.7 The 3R’s

NOTE: to answer the following questions, refer to the guiding principles in the current edition of the [*Australian Code for the Care and Use of Animals for Scientific Purposes*](https://www.nhmrc.gov.au/guidelines-publications/ea28)*,* and *The Guide to Completing the CDU AEC Project and Permit Application.*

These sections must be completed in detail. “Not Applicable (NA)” is not an acceptable answer.

For teaching activities, this section should be completed at item 5.8.

2.5 Replacement

Why is it necessary to use/capture animals in this project? What have you done to seek out suitable alternatives that would not involve the use of animals, and if such alternatives exist, why can’t they be used in this project?

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2.6 Reduction

Justify, in terms of experimental/teaching design, educational outcome, or survey requirements, why you need to use/capture the number and type(s) of animals that you have requested. Statistical justification is required where applicable, particularly for animal use in research as opposed to survey work. Consideration of experimental power is highly recommended in answering this question.

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If the project repeats previously reported experiments/studies on animals, please summarise the reasons why this repetition is necessary. Include references to justify this.

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**2.7 Refinement**

Detail what consideration has been given to the principle of Refinement in developing the methodology of this project. Refinement involves steps taken to minimise the impact on animals involved.

If you are planning on collecting voucher specimens your responses to Section 3.2 need to also detail how the impact on these individuals will be minimised, and what the likely impact is on the animal population involved. Voucher specimens involving the killing of animals should never be undertaken without prior justification.

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SECTION 3: ADMINISTRATIVE NOTIFICATION OF NUMBERS AND TYPE(S) OF ANIMALS PROPOSED FOR USE

3.1 What animal species and numbers are to be used/captured?

Using the *Animal Usage Spreadsheet* available on the [CDU AEC Website](http://www.cdu.edu.au/research/ori/animal-ethics), provide details of the animals to be used, including the numbers of each animal required per procedure code. Refer to Appendix 1 for information on procedure codes. Once completed, submit the spreadsheet as a separate electronic file together with this application via email to ethics@cdu.edu.au.

NOTE: You must report accurately on animal use (i.e. both target and non-target species and numbers associated with each) annually in your *Progress/Final report.* This includes observational studies.

3.2 Will you be collecting any voucher specimens as per the Code, 3.3.42?\* [ ]  Yes [ ]  No

If the answer is ‘Yes’, please provide the following information:

a) How many voucher specimens per species and per site?

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b) Why do you need the voucher specimens?

You will need to justify the taking of each voucher specimen in your *Progress/Final Report*.

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c) Have you contacted a museum or publicly available reference collection to take the voucher specimens? If so, provide details.

 Note: Section 3.3.42 of the code states *When animals are collected as voucher specimens ii) the specimens must be appropriately documented and lodged with an institution that manages a publicly accessible reference collection.*

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d) What is the estimated population of the species involved and what do you estimate will be the impact on the population of the collection of these specimens?

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e) Please detail how you will preserve and transport the voucher specimens to its destination.

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\* Voucher Specimen – An animal that has been euthanased and is preserved and retained as a reference.

3.3 Will you be collecting genetic samples?

 [ ]  Yes [ ]  No

If the answer is ‘Yes’ please provide the following information:

a) Why do you need to collect genetic samples?

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b) How many genetic samples are to be taken per species?

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c) Please detail what samples will be taken per species (what sample will be taken (hair, blood, tissue), from where on the animal, and how will it be taken)?

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d) What is the fate of the genetic samples:

 i) How will samples be stored?

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 ii) Where will samples be stored?

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 iii) Where and when will samples be analysed?

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**SECTION 4: ANIMAL SOURCE, MAINTENANCE & FATE**

## For guidelines on acceptable techniques and animal care please refer to the NHMRC [*Guidelines to promote the wellbeing of animals used for scientific purposes: The assessment and alleviation of pain and distress in research animals*](http://www.nhmrc.gov.au/_files_nhmrc/publications/attachments/ea18.pdf) and *the Guide to Completing the CDU AEC Project and Permit Application*

**4.1 EFFECTS OF PROJECT ON ANIMAL WELLBEING, PLANS TO MINIMISE DISTRESS AND MONITORING PROCEDURES**

**4.1.1 Sequence of Events**

Provide step-by-step details of what happens to the animals from the time you obtain them until they are no longer used for the project, or they are euthanased. A flow chart or table and images together with a written description, may assist in portraying this process. Consider referring to and submitting relevant SOPs specific to this project.

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**4.1.2 Identify and describe each step or procedure in this proposal that may compromise the animal’s well-being. State how these adverse effects will be minimised.**

This list may include capture, handling, housing, as well as experimental or teaching procedures (e.g. such as injections, surgery, blood sampling).

Account for all expected adverse events and the likely frequency of each (e.g. mortality risk percentage, morbidity rates, natural attrition in long term captive animals etc). Please also refer to approved SOPs where these are available.

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| Type of Procedure | Expected adverse effects (A) | Potential complication (B) | Mortality risk percentage (if applicable) (C) | Refinement to minimise A, B and C |
| *E.g. Ear Marking* | *Pain at site of ear mark* | *Local infection in 0.1% of earmarked animals*  |  *0%* | *Tagging performed by a trained operator to minimise pain and distress during procedure* |
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Include all treatment substances to be used (including anaesthetics and analgesics), if applicable.

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| --- | --- | --- | --- | --- | --- |
| Active Ingredient & Product Name | Concentration | Dose Rate | Route of Admin. | Frequency of Admin. | Uses/Indications |
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Is there an expected mortality rate (percentage per annum) associated with natural attrition for the animals in this project? (e.g. cattle on extensive commercial properties).

[ ]  **Yes** [ ]  **No**

**If yes, please provide an estimated % (per annum).**

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**4.1.3** **How will animal wellbeing be monitored at each stage of the project including: post-arrival, procedures and post-procedures?**

Include frequency of monitoring and methods used. For all studies involving more than immediate release of animals, please include **clinical monitoring sheets**, with defined intervention points identified for each stage/risk factor.

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**4.1.4 Who will be monitoring the animals at each stage of the project including: post-arrival, procedures, post-procedures?**

Include who will be responsible for monitoring on weekends, public holidays and during emergencies (e.g. cyclone warnings etc).

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**4.1.5 Who will perform the experiment or teaching procedures stated in this application and where will these procedures be performed?**

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**4.2 SOURCE**

**4.2.1 What will be the source of the animals used in the project?**

From where will the experimental or teaching animals be obtained?

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**4.2.2 If animals to be used have been subjects in previous experiments or studies, describe what was previously done to the animals (include project number).**

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**4.3 ANIMAL HOUSING OR HOLDING**

Including temporary holding in the field.

**4.3.1 List all sites/locations where research or teaching will take place?**

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**4.3.2 What is the maximum time the animals will be ‘held’ / participating in this project?**

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**4.3.3 Describe the housing / type of container to be used**

E.g. state dimensions of cage, bag, furnishings etc.

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**4.3.4 What will be the maximum and minimum number of animals per cage / container / yard?**

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**4.3.5 If contained individually, justify why animals must be socially isolated including why alternative options are unsuitable in this proposed work.**

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**4.3.6 What measures will be taken to enrich the environment for animals during routine maintenance before and after experimental or teaching procedures? (If applicable)**

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**4.4 FEEDING**

**4.4.1 What and how often will animals be fed and watered?**

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**4.5. FATE OF ANIMALS**

**Note: These sections must be fully completed. “Not Applicable (NA)” is not an acceptable answer.**

**4.5.1 What will be the fate of the animals at the end of their involvement in the project?**

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**4.5.2 What action will you take if any animals are injured during the course of the project?**

Have you prepared a scaled intervention plan for the project – if so, please provide it.

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**4.5.3 What criteria will be used to determine the end-point of the experiment (conclude an animal’s involvement in the project):**

**a)** Under normal circumstances?

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**b)** In case of unexpected circumstances?

For example, after an injury as outlined in 4.5.4 below

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**4.5.4 If animals are to be euthanised as part of the project or because they are seriously injured:**

**NOTE: this section is mandatory and ‘NA’ will not be accepted as a valid response.**

Should administration of euthanising agents/drugs be proposed, the individual administering the agent must be licensed to do so and provide proof of certification. Should euthanasia by firearm be proposed, please provide details of the persons experience and details of the firearms licence.

**a)** How will this be done?

For euthanising drugs, include agent used, route of administration, and dose (e.g. mg/kg).

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**b)** Where will the euthanasia take place?

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**c)** Who will euthanise the animal(s) and what is their experience?

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**d)** How will the carcass/es be disposed?

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**e)** Could animal tissue be shared with other researchers for another research project?

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**SECTION 5: TEACHING PROJECTS (ONLY)**

**DELETE this section if not carrying out a teaching project**

NOTE: Teachers and facilitators should ensure they are familiar with the requirements of, and guidance in, Section 4 of the Code, *The care and use of animals for the achievement of educational outcomes in science.*

**5.1 Course / Unit / Practical Class Name:**

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**5.2 What is the estimated number of students undertaking the unit / course:**

**a)** per session?

**b)** per semester?

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**5.3 What is the student to instructor/supervisor ratio?**

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**5.4 Please specify the minimum and maximum number of animals to be used in a relevant time frame (e.g. number of times per class or per week) by each student?**

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**5.5 Will the students be handling live animals?** **[ ]**  Yes**[ ]** No

If you answered ‘Yes’, please explain what students will be doing with the animals and what steps have been or will be taken to ensure that the students are trained in animal handling techniques, and adequately supervised while handling the animals: This may be done with reference to SOPs.

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**5. 6 How would students be disadvantaged if animals were not used in this course, project, or procedure?**

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**5. 7 What are the learning outcomes for the unit / course?**

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**5. 8 Detail what consideration has been given to each of the “3 Rs” (Replacement, Reduction and Refinement) in developing this teaching module (refer to the Code).**

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**5.8.1 Replacement**

Why is it necessary to use animals in this teaching module? Have you considered whether there are parts of the teaching objective that could be achieved without the use of live animals? What have you done to seek out suitable alternatives that would not involve the use of animals and, if such alternatives exist, why can’t they be used effectively to achieve the necessary knowledge and skills?

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**5.8.2 Reduction**

Justify, in terms of teaching design and/or educational outcome, why you need to use the number and type(s) of animals that you have requested in 5.4 above.

If the work involved repeats previous teaching, please summarise the outcomes of that previous teaching (i.e. was the animal use effective at achieving the stated educational outcome) as this will assist the AEC in defining whether the number and types of animals involved is appropriate.

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**5.8.3 Refinement**

Detail what consideration has been given to the principle of Refinement in developing the detailed description of how this teaching work will be undertaken so as to minimise the adverse impact (severity and/or duration on animals involved). This should include reference to relevant competencies/instructions given to the students as per 5.5 above as well as the level of oversight provided by teaching staff and cut-off points for intervention during the animal contact component/s of the course. NOTE: intervention points are to be more fully described in context of an intervention plan under 5.12.

In addition, identify any aspects of the teaching environment that would provide ‘rewards’ for the animals, such as feeding them on entry to the yards or immediately after the teaching has finished.

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**5.9 What is the maximum number of times each animal will be used? Why is this considered appropriate in an animal welfare sense?**

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**5.10 Describe how the attainment of the educational objectives will be assessed?**

Attach a student assessment, course feedback sheet etc.

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**5.11 Is animal use compulsory for students of the above course?** **[ ]**  Yes**[ ]**  No

If you answered ‘Yes’:

How and when were the students made aware of animal use in this unit / course?

 If you answered ‘No’:

Please explain why there is justification for use of animals in the course if the objectives can be met without the need for students to undertake direct animal use to develop and demonstrate knowledge and skills?

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**5.12 Do the students receive instruction in their ethical and legal responsibilities involved in the use of animals for scientific purposes, as well as in the appropriate methods for animal care and use?** **[ ]**  Yes **[ ]**  No

If ‘Yes’ describe the instruction provided.

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Detail the intervention plan, including veterinary back up, that will be applied when an incident involving significant risk to animals occurs during a teaching session.

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SECTION 6: PARTICIPANT INFORMATION, DECLARATIONS AND DISCLOSURES

**6.1 FORM A** – **PRINCIPAL INVESTIGATOR**

NOTE: the Principal Investigator (PI) is required to accept accountability for the conduct and outcome of the project, therefore their role requires them to supervise, direct and coordinate the other investigators and steer the direction of the project. This means that the PI needs to have authority over the other participants on the project, and must be someone who has the knowledge and experience to make the ultimate decisions regarding the project. The PI cannot be a student, peripheral participant or someone who is subordinate to another participant in regards to the conduct of the project. The organisation employing the PI will be the Lead Organisation responsible for the project and must therefore hold a Licence for animal research and teaching in the Northern Territory.

The PI may not be able to/want to coordinate and oversee the administrative duties of the animal ethics process, so can delegate this role to another investigator. If this is the case provide the name and contact details of this person at the bottom of this page. Note however, the PI will remain the only person who can sign off on the ethics paperwork.

The following information is used to determine whether Animal Research Permit/s will be granted by the CDU AEC under the NT *Animal Welfare Act*, and thus **completion in full** is compulsory.

|  |  |
| --- | --- |
| Name and Title: |  |
| Date of Birth: |  |
| Position and Qualifications: |  |
| Organisation/Dept/School |  |
| Address for Correspondence: |  |
| Telephone Number: |  |
| Email: |  |
| Fax: |  |
| As the PI, detail your role in the project:  |
| Outline your experience relevant to your role, the procedures and the species being used in this project: |
| Last animal ethics training workshop attended |
| Place | Date | Provided by\* |
|  |  |  |

**\***If not provided by CDU please provide Certification of Attendance/Completion

I would like to delegate the administrative duties for this project to **Click here to enter text.** Who will also be the administrative contact for AEC correspondence. Their Contact details are: **Click here to enter text.**

**Disclosure:**

In the last 10 years, either in Australia or overseas, have you:

1. Been found guilty by a court or been served with an infringement notice for an

offence under animal welfare legislation or involving an animal? Y/N

1. Been found guilty by a court of an offence involving an animal? Y/N
2. Had an animal research approval suspended or terminated by an Animal Ethics

Committee as a result of non-compliance or misconduct? Y/N

1. Undergone disciplinary action by an employee regarding your performance or

involvement in the care or handling of animals? Y/N

If the answer is ‘Y’ to any of the above questions, please provide details below:

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**Declaration:**

I **[INSERT FULL NAME]** solemnly and sincerely declare that:

1. I will provide adequate project supervision, ensure animal health and wellbeing and oversee the conduct of all staff participating in the project such that I will take overall responsibility for all aspects of the conduct of the project;
2. I am responsible for this project application and agree to fulfil my role in the project as outlined in the application and according to any conditions proposed by the Animal Ethics Committee;
3. I will comply with the Animal Ethics Committee’s requirements for reporting and understand that failure to provide reports on time without acceptable justification, will result in a suspension to my Project Approval and Permit;
4. I certify that the use of animals and my conduct in this project will comply with the Animal Welfare Act and the current edition of the Australian code for the care and use of animals for scientific purposes, NHMRC Policies, CDU AEC Policies and Procedures and any directions given by the CDU AEC;
5. I have provided the information contained within this application and any attachments to it, for the purpose of obtaining a Permit to conduct a teaching or research program or programs under the *Animal Welfare Act;* and
6. The contents of this declaration are true; and
7. I am aware that it is an offence to make a statutory declaration that is false in any material particular.

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| --- | --- | --- | --- |
|  |  | at | on |
| Full Name  | Signature  | Place | Date |

**6.2 FORM B –** **PARTICIPANT** **INFORMATION, DECLARATIONS and DISCLOSURES**

**(****Co-investigator or person performing animal work unsupervised)**

Supply one Declaration and Disclosure Form per person listed in 1.2.

The following information is used to determine whether Animal Research Permit/s will be granted by the CDU AEC under the NT *Animal Welfare Act*, and thus **completion in full** is compulsory.

|  |  |
| --- | --- |
| Name and Title: |  |
| Date of Birth: |  |
| Position and Qualifications:  |  |
| Organisation/Dept/School |  |
| Address for Correspondence: |  |
| Telephone Number: |  |
| Email:  |  |
| Fax: |  |
| Student Number\*: | IRMA ID: |
| Role in Project:  |
| Outline your experience relevant to your role, the procedures and the species being used in this project: |
| Last animal ethics training workshop attended |
| Place | Date | Provided by\*\* |
|  |  |  |

\*For CDU HDR students only, please supply your Student Number and IRMA ID in the space provided

\*\*If not provided by CDU please provide Certification of Attendance/Completion

**Disclosure:**

In the last 10 years, either in Australia or overseas, have you:

1. Been found guilty by a court or been served with an infringement notice for an

offence under animal welfare legislation or involving an animal? Y/N

1. Been found guilty by a court of an offence involving an animal? Y/N
2. Had an animal research approval suspended or terminated by an Animal Ethics

Committee as a result of non-compliance or misconduct? Y/N

1. Undergone disciplinary action by an employee regarding your performance or

involvement in the care or handling of animals? Y/N

If the answer is ‘Y’ to any of the above questions, please provide details below:

|  |
| --- |
|  |

**Declaration:**

I, **[INSERT FULL NAME]** solemnly and sincerely declare that:

1. I have read the project application and agree to fulfil my role in the project as outlined in the application and according to any conditions proposed by the Animal Ethics Committee;
2. I certify that the use of animals and conduct of this project will comply with the Animal Welfare Act and the current edition of the Australian Code for the Care and Use of Animals for Scientific Purposes, NHMRC Policies, CDU AEC Policies and Procedures and any directions given by the CDU AEC or NT Animal Welfare Authority;
3. I have provided the information contained within this Project Application and any attachments to it, for the purpose of obtaining a Permit to conduct this research / teaching project under the *Animal Welfare Act;*
4. The contents of this declaration are true; and
5. I am aware that it is an offence to make a statutory declaration that is false in any material particular.

Project Title:

|  |  |  |  |
| --- | --- | --- | --- |
|  |  | at | on |
| Full Name  | Signature  | Place | Date |

6.3 FORM C – TO BE COMPLETED ON BEHALF OF THE LICENSEE BY:

HEAD OF DEPARTMENT *or* REPRESENTATIVE OF LEAD ORGANISATION

I have read the project application and I am satisfied that the use of animals is justified on scientific, educational or diagnostic grounds. I am authorised on behalf of the licensee and I am satisfied that the Principal Investigator has appropriate authority, qualifications, experience and resources to carry out their responsibilities in line with the project described in this document.

 Project Title:

Name of Principal Investigator:

Declaration:

|  |  |  |  |
| --- | --- | --- | --- |
|  |  | at | on |
| Full Name  | Signature  | Place | Date |

|  |  |  |  |
| --- | --- | --- | --- |
| Title:  |  |  |  |

|  |  |  |  |
| --- | --- | --- | --- |
| Position:  |  |  |  |

|  |  |  |  |
| --- | --- | --- | --- |
| Department/Organisation: |  |  |  |
| Licence No. |  |  |  |

**APPENDIX 1**

*(DELETE these pages from your application before submitting)*

As a part of the AEC’s reporting projects are required to be categorised based on the type of research being carried out, and also on the level of impact the work will have on the animals. This allows CDU to look at trends in research that relate to animal use, improvements in animal welfare and progress related to the 3Rs.

In 1.6 and 3.1 of the application (above) you are required to categorise your project based on the scientific purpose (research category) and the procedure severity (procedure code). Below is an explanation of each category with examples provided to assist you making the best choice. This appendix has been adapted from the Queensland Department of Agriculture and Fisheries, whose criteria we use.

**Question 1.6 – Research categories**

**1. The Understanding of Human or Animal Biology:**

Using animals for activities that aim to increase the basic understanding of the structure, function and behaviour of animals and humans, and processes involved in physiology, biochemistry and pathology.

Examples:

* Molecular biology studies
* Studies of hormone levels for reproductive physiology

**2. The Maintenance and Improvement of Human or Animal Health and Welfare:**

Activities that aim to produce improvements in the health and welfare of animals, including humans.

Examples:

* Animals used to develop a new diagnostic test for a disease
* Development of a painless method of spaying cattle
* Developing a new vaccine for animals or humans
* Production of biological products such as anti-sera, hormones and antibodies
* Disease surveillance and monitoring projects

**3. The Improvement of Animal Management or Production:**

Activities that aim to produce improvements in domestic or captive animal management or production.

Examples:

* Developing an improved molasses/urea based supplement for cattle
* Determining optimum stocking rate for a pasture
* Evaluation of a calcium supplement for layer hens

**4. The Achievement of Educational Objectives:**

Activities carried out for the achievement of educational objectives. The purpose of the activity 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.

Examples:

* Animals used by veterinary schools to teach examination procedures such as pregnancy
* diagnosis or artificial insemination
* Sheep used in shearing demonstration classes for students; Dogs used to teach animal care to Vocational Education and Training (VET) students;
* Animals used at pre-, primary or secondary schools or colleges; Rats and toads used in schools for dissection classes
* Animals used in agricultural colleges or schools to teach routine husbandry procedures

**5. Environmental Study:**

Activities that aim to increase the understanding of the animal’s environment or its role in it, or aim to manage wild or feral populations. These will include studies to determine population levels and diversity and may involve techniques such as collection of voucher specimens, radio tracking or capture and release.

Examples:

* Fauna surveys for environmental impact studies
* Research into methods to control feral animals

**Question 3.1 – Procedure Categories**

**1. Observational Studies Involving Minor Interference:**

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 suffering involved.

Examples:

* Observational study only such as photographing whales at close quarters
* Pasture studies using grazing animals
* Breeding or reproductive study with no detriment to the animal
* Feeding trial, such as Digestible Energy determination of feed in a balanced diet
* Behavioural study with minor environmental manipulation
* Teaching of normal, non-invasive husbandry such as handling, grooming, etc
* Production of products, such as hormones or drugs, in milk or eggs from animals which are subject to normal husbandry procedures only

**2. Animal Unconscious without Recovery:**

Animal is rendered unconscious or euthanased under controlled circumstances (i.e. not in a field situation) with as little pain or distress as possible. Capture methods are not required. Any pain is minor and brief and does not require analgesia. Procedures are carried out on the unconscious animal that is then killed without regaining consciousness.

Examples:

* No experimentation on living animals, e.g., animals killed painlessly for dissection, biochemical
* Analysis, in vitro cell culture, tissue or organ studies
* Teaching surgical techniques on live, anaesthetised animals which are not allowed to recover

following the procedure

* Live animals euthanased for later scientific use, e.g., rats and toads for dissection
* Collecting blood or plasma from anaesthetised dogs prior to euthanasia

**3. Minor Conscious Intervention without Anaesthesia:**

Animal is subjected to minor procedures that 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.

Examples:

* Injections (not vaccination trials), blood sampling in conscious animal
* Minor dietary or environmental deprivation or manipulation, such as feeding nutrient-deficient diets

for short periods

* Trapping and release as used in species impact studies, etc
* Trapping and humane euthanasia for collection of specimens
* Stomach tubing, branding, dehorning young animals, shearing, etc

**4. Minor Operative Procedures with Recovery:**

Animal may be rendered unconscious with as little pain or distress as possible. A minor procedure such as cannulation or skin biopsy is carried out and the animal is allowed to recover. Depending on the procedure, pain may be minor or moderate and post-operative analgesia may be appropriate. Field capture using chemical restraint methods is also included here.

Examples:

* Biopsies
* Cannulation
* Sedation/anaesthesia for relocation, examination or injections/blood sampling

**5. Surgery with Recovery:**

Animal may be 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 is allowed to recover. Postoperative pain is usually considerable and at a level requiring analgesia.

Examples:

* Orthopaedic surgery
* Abdominal or thoracic surgery
* Transplant surgery
* Mulesing, castration without anaesthesia

**6. Minor Physiological Challenge:**

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.

Examples:

* Minor infection, minor or moderate phenotypic modification, early oncogenesis
* Arthritis studies with pain alleviation
* Prolonged deficient diets, induction of metabolic disease
* Polyclonal antibody production
* Antiserum production
* Vaccination trials

**7. Major Physiological Challenge:**

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 that is not quickly or effectively alleviated.

Examples:

* Major infection, major phenotypic modification, oncogenesis without pain alleviation
* Arthritis studies with no pain alleviation, uncontrolled metabolic disease
* Isolation or environmental deprivation for extended periods
* Monoclonal antibody raising in mice

**8. Death as an End-point: (not euthanasia)**

This category only applies in those rare cases where the death (rather than euthanasia) of the animal is a deliberate measure of the data collection phase of the activity. Where the investigator or teacher will not intervene to kill the animal humanely before death occurs in the course of the scientific activity.

Death as an end-point does include:

* Lethality testing (LD50, LC50);
* Toxicity testing with death as a planned end-point without euthanasia;
* Dose rate studies for feral animal control; or
* Disease studies in which it is planned that animals will die.

Death as an end-point does not include:

* Death by natural causes (incidental to the scientific use);
* Animals which are euthanased on completion of the project;
* Animals which are euthanased as a result of an unexpected adverse event;
* Animals euthanased for dissection or for use as museum voucher specimens; or
* Accidental deaths.

Where predictive signs of death have been determined and euthanasia is carried out before significant suffering occurs, they may be placed in Category 6 or 7.