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For student research, the student is a named member of the research team (an investigator) and has shared responsibility for the ethical conduct of the project. Investigators have a number of responsibilities as outlined 2.4 of the <u>Code</u>.

These include but are not limited to:

- Ensure that records of the animals used for scientific purposes are maintained. These records should allow the tracking of individual animals through the entire project.
- Ensure that animals used for scientific purposes are monitored as outlined in the approved application.
- All deaths or adverse impacts on animal wellbeing must be reported immediately directly to Animal Facilities Manager and by submitting an adverse event report in RIMS which will be reviewed by the AEC.
- The conduct of projects is to be reported each calendar year or at the conclusion of projects using the Annual/Final/Progress or Adverse Event Report form.
- Use the Application Variation Request form to seek AEC approval for changes to project conditions, to extend a project, or to change personnel.
- Provide an annual progress report for each approved project to the AEC. Failure to do so will result in withdrawal of permission to use animals and suspension of the project. Annual reports are due by 25 January each year and, like all other animal ethics forms, are lodged via RIMS: <a href="https://www.griffith.edu.au/research/research-services/research-ethics-integrity/animal/animal-ethics-applications">https://www.griffith.edu.au/research/research-services/research-ethics-integrity/animal/animal-ethics-applications</a>.

All investigators are responsible for the wellbeing of an animal throughout the period of use of the animal in the approved project, until provisions are made for the animal at the conclusion of their use (see Clause 2.4.1 of the <u>Code</u>). Investigators must ensure that an adequate number of competent people can provide care for the animals (e.g. animal technicians, investigators). If an investigator acts as an animal carer during this period, their responsibilities include those of an animal carer.

Even though a student may submit variations requests and reports for a protocol they are listed on, the Responsible Investigator must stay abreast of the actual conduct of their student's project, and offer informed advice on ethical, responsible conduct, and regulatory matters.

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The Code specifies the role and responsibilities of AECs. The primary responsibility s o2G[EC)-4(s)]THT@re4]THT@G





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ensuring that all people involved in the care and use of animals understand their responsibilities and the requirements of the <u>Code</u>, have the necessary skills and knowledge, and have access to appropriate educational programs and resources;

regularly monitor and review the institution's compliance with the Code;

responding to the recommendations of the AEC;

establishing formal processes for the generation of policy, handling of complaints, and operation of the Committee;

ensuring that the AEC membership will allow the Committee to meet its responsibilities;

ensuring that the AEC has terms of reference that are publically available;

providing the AEC with the resources required to carry out its responsibilities, and to maintain the AEC;

establishing procedures for the effective governance and operation of the AEC that will enable the AEC to meet its responsibilities under the Code and relevant institutional policies, and promote competent and





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#### 9.1 Scope

This section relates to situations where a concern or complaint is raised in regards to the conduct of a Griffith University researcher or research project.

9.2 Who has 'standing' to raise a concern or complaint?





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There are a number occasions when a researcher will interact with ethics reviewers (the AEC or AEC Executive), or the Office for Research, on behalf of the AEC.

Some examples are:

during the review when a researcher may be asked to clarify or amend a method or detail in their application;

after the review when a researcher might be asked to provide some paperwork for the file;

during the conduct of research when a research may be asked for a progress or annual report or to participate in an audit; and

at the completion of animal use when the researcher(s) will be asked for a final report.

There will be circumstances where there are valid reasons for a delay in responding to a request from the Office for Research (on behalf of the Committee) – for example the research student might be on a leave of absence. The University's animal ethics system has provision for such circumstances. However, a member of the team must contact the Office for Research so a 'deferral date' for the matter can be agreed to and added to the system.

Clause 2.4.4 of the Code states Investigators must:... " (viii) report to the AEC as required". Approval may be suspended or cancelled if annual, progress or final reports are not provided when requested by the AEC. The procedures that should be followed if persons using animals for scientific purposes at Griffith University fail to provide details for inclusion in the University's report to the QLD Department of Agriculture and Fisheries (DAF) are:

Requests for information (usually initial, plus 2 follow ups but not limited to that) should be sent to users of animals for scientific purposes, as per established requirements determined by the Animal Ethics Coordinator for a given reporting period.

If no response is provided by the end of the determined period, by a person using animals for scientific purposes,

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Should requested reports remaining outstanding beyond the deadline for submission to DAF, the Animal Ethics Coordinator will brief the Deputy Vice Chancellor (Research) and outline the potentially serious implications of continued non-compliance.

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As was noted previously in this Booklet, when a matter of concern or dispute arises, there will ordinarily be an



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The Deputy Vice Chancellor (Research) / AEC may interview other parties in relation to the project (eg relevant Head of Element, an external stakeholder or an external expert for advice).

Notification of the outcome of the investigation must be provided in writing to the complainant, the Responsible Investigator and the Deputy Vice Chancellor (Research).

#### 12.6 Outcomes of the investigation

12.6.1 ALLEGED BREACH

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