



**QIMR Berghofer**  
Medical Research Institute

**ANIMAL ETHICS COMMITTEE**

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**1.0 TERMS OF REFERENCE**

**APPROVAL DATE: 21 MAY 2019**

**REVIEW DATE: MAY 2022**

**1.1 Scope of Responsibilities**

**1.1.1** The QIMR Berghofer Medical Research Institute Animal Ethics Committee (QIMR Berghofer-AEC) is a committee established by the Council of the Queensland Institute of Medical Research (referred to as the Council). The primary responsibility of the QIMR Berghofer-AEC is to ensure, on behalf of QIMR Berghofer Medical Research Institute (QIMR Berghofer), that all activities relating to the care and use of animals are conducted in compliance with the current *Australian Code for the care and use of animals for scientific purposes*, 8th edition 2013 (referred to as the *Code*). QIMR Berghofer-AEC reports to the Council. The Terms of Reference of the QIMR Berghofer-AEC comply with the *Code*, and specifically are in accordance with Clause 2.2.1 of the *Code*.

**1.1.2** Each person involved in the care and use of animals for scientific purposes must consider the Governing principles below, (Section 1 of the *Code*).

(a) Respect for animals must underpin all decisions and actions involving the care and use of animals for scientific purposes. This respect is demonstrated by:

- (i) Using animals only when it is justified
- (ii) Supporting the wellbeing of the animals involved
- (iii) Avoiding or minimising harm, including pain and distress to those animals
- (iv) Applying high standards of scientific integrity
- (v) Applying Replacement, Reduction and Refinement (the 3Rs) at all stages of animal care and use:
  - The Replacement of animals with other methods
  - The Reduction in the number of animals used
  - The Refinement of techniques used to minimise the adverse impact on animals

(vi) Knowing and accepting one's responsibilities

- (b) The care and use of animals for scientific purposes must be subject to ethical review.
- (c) A judgement as to whether a proposed use of animals is ethically acceptable must be based on information that demonstrates the principles in Clause 1.1 of the *Code*, and must balance whether the potential effects on the wellbeing of the animals involved is justified by the potential benefits.
- (d) The obligation to respect animals, and the responsibilities associated with this obligation apply throughout the animal's lifetime, including acquisition, transport, breeding, housing, husbandry, use of the animal in a project and provisions for the animal at the conclusion of their use.

**1.1.3** The QIMR Berghofer-AEC is assisted by the Animal Scientific Sub-Committee (ASSC). The ASSC provides advice on scientific/technical assessment and evaluation of research protocols and compliance with regulatory requirements. The ASSC reports to the QIMR Berghofer-AEC with respect to animal research. Appointments to the ASSC are made by the QIMR Berghofer Director upon recommendations from the AEC and/or ASSC Chairpersons.

**1.1.4** The QIMR Berghofer-AEC complies with the current *Australian Code for the care and use of animals for scientific purposes, 8<sup>th</sup> edition, 2013*<sup>1</sup>; *the Queensland Animal Care and Protection Act 2001*<sup>2</sup>; *Queensland Animal Care and Protection Regulation 2002*<sup>3</sup>; *Queensland Biotechnology Code of Ethics updated 2006*<sup>4</sup>; and other relevant regulations<sup>5-13</sup>.

**1.1.5** The QIMR Berghofer-AEC shall:

- (a) Recommend to the Council any necessary measures to ensure that the standards required by the *Code*, and of any other relevant extant State, Territory and Commonwealth legislation, are maintained.
- (b) Consider research protocols involving use of animals for scientific purposes:
  - Within the premises of QIMR Berghofer, including both QIMR Berghofer and non-QIMR Berghofer scientific groups;
  - By QIMR Berghofer personnel, whether intra- or extra-mural; and
  - By other organisations for whom QIMR Berghofer has agreed to act.
- (c) Review applications for projects and approve only those projects that are ethically acceptable (see Clause 1.3 of the *Code*) and conform to the requirements of the *Code*.
- (d) Review applications for activities associated with the care and management of animals in facilities, including procedures applicable to breeding programs integral to the maintenance of an animal line, and approve only those activities that are ethically acceptable and conform to the requirements of the *Code*.
- (e) Conduct follow-up review of approved projects and activities (see Clause 2.2.32 [ii] of the *Code*), and allow the continuation of approval for only those projects and activities that are ethically acceptable and conform to the requirements of the *Code*.
- (f) Monitor the care and use of animals, including housing conditions, practices and procedures involved in the care of animals in facilities.

- (g) Take appropriate actions regarding unexpected adverse events.
- (h) Take appropriate actions regarding non-compliance.
- (i) Approve guidelines for the care and use of animals on behalf of QIMR Berghofer.
- (j) Provide advice and recommendations to QIMR Berghofer.
- (k) Report on its operations to QIMR Berghofer.
- (l) Require that all members declare any conflict of interest before appointment, and deal with situations in which a conflict of interest arises as per Appendix A4.3.
- (m) Ensure that, where a project involves more than one institution, formal procedures exist by which the project has met ethical approval from the responsible AEC and complies with Clauses 2.6.4 - 2.6.7 of the *Code*.
- (n) Maintain a register of all proposals and projects submitted to the QIMR Berghofer-AEC.
- (o) Comply with the reporting requirements of QIMR Berghofer, the *Code*, the National Health & Medical Research Council (NHMRC), and the Queensland government responsible authority.

[Note: Where the conditions of a grant involve compliance with the requirements of any other regulatory agency, particularly an overseas agency, the QIMR Berghofer-AEC will endeavor to meet those requirements. Investigators should notify the QIMR Berghofer-AEC of the requirements before the grant is accepted.]

- (p) Perform all other duties required by the *Code*.

## 1.2 Accountability

The QIMR Berghofer-AEC is accountable to the Council. Before granting approval to a research study involving animals, the QIMR Berghofer-AEC must be satisfied that the use of animals is essential and justified and that the protocol conforms to:

- (a) The *Code*<sup>1</sup>;
- (b) *Queensland Animal Care and Protection Act 2001*<sup>2</sup> and *Queensland Animal Care and Protection Regulation 2002*<sup>3</sup>; and
- (c) Any requirements of relevant Commonwealth or State/Territory laws; and
- (d) Where relevant, overseas regulatory requirements.

## 1.3 Mechanisms of Reporting

Formal mechanisms of reporting include the following:

- (a) Minutes of all QIMR Berghofer-AEC meetings and occasional reports may be provided to the Director's Consultative Committee (DCC) for noting and are provided to the Council for consideration and endorsement.
- (b) QIMR Berghofer-AEC annual report to the Council; annual report and/or occasional reports to the NHMRC-Animal Welfare Committee (NHMRC-AWC) as requested. The annual report details:
  - Numbers and types of projects and activities assessed, and approved or rejected;

- The physical facilities for the care and use of animals by the institution;
  - Actions that have supported the educational and training needs of AEC members and people involved in the care and use of animals;
  - Administrative or other difficulties experienced;
  - Any matters that may affect the institution's ability to maintain compliance with the *Code* and, if appropriate, suitable recommendations;
  - Internal reporting; and
  - External Reporting.
- (c) An annual animal ethics review meeting as required by the *Code* (Clause 2.2.37) between the QIMR Berghofer-AEC Chairperson and the designated representative of the Institute such as the QIMR Berghofer Director, Chairperson of the Council or members of DCC.
- (d) An annual animal use statistics report to the Department of Agriculture and Fisheries (DAF) of Queensland State Government for a review of the QIMR Berghofer-AEC. The report includes:
- Registrant's details;
  - Activity Details – project title and number, animal type and numbers used (in one calendar year), primary purpose for the activity, major category of animal use; and
  - Complaints and Grievances
- (e) An annual report on compliance with the *Queensland Biotechnology Code of Ethics*, which includes a statement on the care and protection of animals (Clause 13 of the *Code*), submitted by the QIMR Berghofer Director to the Office of Biotechnology & Therapeutic Medicines and Devices, Queensland State Government.

#### **1.4 Monitoring of the Institute's Conformity to the Code**

To ensure QIMR Berghofer's conformity to the *Code*, the operation of the QIMR Berghofer-AEC and its relationship: administrative and actual operation is reviewed by an independent external panel every four years (Clause 6.1 of the *Code*). A yearly internal review is also conducted by a QIMR Berghofer senior scientific staff member to ensure efficient operation of the AEC.

## **2.0 COMPOSITION AND MEMBERSHIP OF THE QIMR BERGHOFER-AEC**

### **2.1 The QIMR Berghofer-AEC Chairperson**

The Chairperson of the QIMR Berghofer-AEC is normally a senior member of QIMR Berghofer who is appointed by the Council. In the case of a Chairperson being an external appointee, QIMR Berghofer will provide the Chairperson with the required support and authority to undertake their role. This facilitates communication between QIMR Berghofer-AEC and the Institute.

### **2.2 The QIMR Berghofer-AEC Deputy Chairperson**

The Deputy Chairperson of the QIMR Berghofer-AEC is nominated by the Committee and endorsed by the Council. The Deputy Chairperson will perform the duties of the Chairperson in their absence.

### **2.3 The QIMR Berghofer-AEC Animal Welfare Officer**

If an Animal Welfare Officer (AWO) is appointed by QIMR Berghofer, s/he is an employee of QIMR Berghofer. The AWO is a qualified veterinarian, registered with the Australian Veterinary Surgeons Board or equivalent and may be appointed as a Category A member of the QIMR Berghofer-AEC. The AWO's role is to advise, support and assist the Chairpersons of the ASSC and QIMR Berghofer-AEC and Secretary in providing advice to researchers on ethical standards and guidelines with respect to the use of animals for scientific purposes.

### **2.4 The QIMR Berghofer-AEC Secretary**

The QIMR Berghofer-AEC Secretary is an employee of QIMR Berghofer. The secretary reports to the chairpersons of the AEC and ASSC, and undertakes administrative tasks of the committees under the guidance of QIMR Berghofer Regulatory Affairs Manager. The Secretary's role is to act as a liaison between the AEC, its sub-committees and the researchers. The Secretary provides administrative advice on the Institute's research ethics program.

### **2.5 Membership of the QIMR Berghofer-AEC**

The QIMR Berghofer-AEC membership conforms to the *Code*. Currently, the QIMR Berghofer-AEC includes the following:

(a) At least one member from each of the following four categories:

Category A - a person with qualifications in veterinary science that are recognised for registration as a veterinary surgeon in Australia, and with experience relevant to the institution's activities or the ability to acquire relevant knowledge. (NB. The QIMR Berghofer Animal Welfare Officer also acts as the Category A member, where appropriate).

Category B - a suitably qualified person with substantial and recent experience in the use of animals for scientific purposes relevant to the institution and the business of the AEC. This must include possession of a higher degree in research or equivalent experience.

Category C\* - a person with demonstrable commitment to, and established experience in, furthering the welfare of animals, who is not employed by or otherwise associated with the institution, and who is not currently involved in the care and use of animals for scientific purposes. Veterinarians with specific animal welfare interest and experience may meet the requirements of this category. While not representing an animal welfare organisation, the person should, where possible, be selected on the basis of active membership of and endorsement by, such an organisation.

Category D\* - a person not employed by or otherwise associated with the institution and who has never been involved in the use of animals in scientific or teaching activities, either in their employment or beyond their undergraduate education. Category D members should be viewed by the wider community as bringing a completely independent view to the AEC, and must not fit the requirements of any other category.

[\* Category C and D members must represent no less than one third of the Committee members.]

(b) Nominated positions

These may be persons already in specific categories or alternatively, act in a non-voting position to the QIMR Berghofer-AEC.

- The Chairperson
- The Deputy Chairperson
- The Animal Welfare Officer
- The QIMR Berghofer-AEC Secretary
- A person responsible for the routine care of animals from within the institution

(c) The AEC may invite people with specific expertise to provide advice as required (Clause 2.2.7 of the *Code*)

## 2.6 The QIMR Berghofer-AEC Executive

According to the *Code* (Clause 2.2.23) the AEC Executive must include the AEC Chairperson and at least one other member from Category C or D. The Executive may approve minor modifications to approved projects or activities, for ratification at the next AEC meeting. It must not approve new projects. Refer to A5.0 for further details.

## 3.0 APPOINTMENT OF MEMBERS

**3.0.1** QIMR Berghofer-AEC members, Categories A-D are appointed by the Council. Prior to appointment all individuals nominated for membership must be accepted for nomination by DAF. All changes to the QIMR Berghofer-AEC membership are communicated to the QIMR Berghofer Council, NHMRC-AWC, DAF and other regulatory agencies, as required.

**3.0.2** Vacancies of Categories A, C and D will be advertised via publications such as QIMR Berghofer's LifeLab, network notices, Queensland Health's Health matters, UQ's University News and Seek. Upon submission of Curriculum Vitae and approval by the Chairperson, the prospective member will be invited to attend the next AEC meeting as an Observer. During this meeting, the prospective member will have an opportunity to familiarise themselves with committee procedures. Subsequent to agreement from all parties (prospective member, Chairperson and AEC members), the Chairperson will recommend the nomination to Council.

### 3.1 Period of Appointment

QIMR Berghofer-AEC voting members are normally appointed for a three-year term. A retiring member may be reappointed. Appointments to fill casual vacancies are for the balance of the original appointee's term.

### 3.2 Terms and Conditions of Appointment

- (a) Members are appointed for their expertise and diversity of the categories and not in a representative capacity.
- (b) Before appointment, members acknowledge in writing their acceptance of the Terms of Reference of the QIMR Berghofer-AEC and any requirements for confidentiality required by QIMR Berghofer. Confidential Information refers to all QIMR-Berghofer AEC business and

other relevant information including but not limited to: animal research ethics applications, research data, expert reports, commissioned reports and animal use within the Institute. Members must not use the confidential information for any other purpose, disclose to any person or make known in any manner any part of the confidential information.

- (c) Actual and potential conflicts of interest should be declared. All members must acknowledge that any conflicts of interest during their appointment should be declared as the situation arises.
- (d) Members receive a formal notice of appointment and assurances that the Institute will provide legal protection in respect to liabilities that may arise in the course of *bona fide* conduct of their duties as Committee members.
- (e) A member who is absent for three consecutive meetings without tendering an apology may be deemed to have forfeited his/her membership on the Committee.
- (f) The appointment may be terminated by the member or the Council at any time, with written notice of four weeks.

### **3.3 Remuneration**

QIMR Berghofer-AEC voting members provide their services on a voluntary basis. Parking will be provided at Herston for members while on QIMR Berghofer-AEC business. All essential and necessary expenses incurred by members in carrying out their QIMR Berghofer-AEC duties will be reimbursed by QIMR Berghofer, on production of original receipts.

### **4.0 WRITTEN PROPOSALS**

- 4.1** The QIMR Berghofer-AEC requires project applications to be submitted via the QIMR Berghofer Electronic Forms (E-Forms) system for animal ethical approvals.
- 4.2** The formulation of the QIMR Berghofer-AEC animal ethics application is guided by the *Code*. Proposals for use of animals for scientific purposes must include the required information as defined in Clauses 2.4.6-2.4.9 of the *Code*.
- 4.3** A copy of the full protocol and associated documents for each project is recorded in the QIMR Berghofer E-Forms system.

### **5.0 WORKING PROCEDURES**

The working procedures for the QIMR Berghofer-AEC are described in Appendix A.

### **6.0 AMENDMENT HISTORY**

Endorsed by MEC – 8 October 2002

Amendments Endorsed by MEC – 22 February 2005

Endorsed by Council – 15 October 2002

Amendments Endorsed by Council – 15 March 2005; 21 March 2006; 19 May 2009; 16 June 2009

Endorsed by Council – 5 November 2013

Amendments Endorsed by AEC – 30 April 2015

Amendments Endorsed by Council – 26 May 2015

Amendments Endorsed by AEC – 8 January 2019

Amendments Endorsed by Council – 21 May 2019

Amendments to Working Procedures: Appendix A – 31 March 2020



## REFERENCES

1. [Australian Code for the care and use of animals for scientific purposes, 8<sup>th</sup> Edition, 2013](https://nhmrc.gov.au/about-us/publications/australian-code-care-and-use-animals-scientific-purposes)  
<https://nhmrc.gov.au/about-us/publications/australian-code-care-and-use-animals-scientific-purposes>
2. [Queensland Animal Care and Protection Act 2001](#) – current as at 1 July 2016:
3. [Queensland Animal Care and Protection Regulation 2002](#) – current as at 1 October 2018.
4. [Queensland Biotechnology Code of Ethics updated 2006](#)
5. [Using animals for scientific purposes \(Queensland Government\)](#)
6. [International Guiding Principles for Biomedical Research Involving Animals](#)
7. Other Queensland Government codes, guidelines, legislation,  
  
[Fisheries Act 1994](#)
8. [Wildlife Protection \(Regulation of Exports and Imports\) Act 1982 No.149 of 1982 – SECT 4](#)

Office of the Gene Technology Regulator, Department of Health and Ageing, Australian Government

Please refer to <http://www.ogtr.gov.au/>

For the following amended legislation:

9. [The Gene Technology Act 2000 \(compilation incorporating amendments up to Act No. 169 of 2016\)](#)
  - (1) [The Gene Technology Regulations 2001 \(compilation incorporating amendments up to SR 2001 No. 106\) \(commencement 1 September 2001\)](#). These are the complete regulations enforced from 16 June 2016.
10. [Biosecurity Act 2015](#) (Registered 12 September 2018, includes amendments up to Act No. 88, 2018)
11. [The International Air Transport Association \(IATA\) Live Animal Regulations](#)
12. [Environment Protection and Biodiversity Conservation Act 1999](#)

## APPENDIX A

### Working Procedures

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#### A1.0 Frequency of Meetings

The QIMR Berghofer-AEC meets nine times per calendar year (approximately every 5-7 weeks). Additional meetings may be held when required. The ASSC meets approximately three weeks prior to the QIMR Berghofer-AEC meeting. The Meeting schedule for the upcoming year is announced by November of the preceding year.

#### A2.0 Submission Deadlines

Deadlines for submission of ethics applications to the QIMR Berghofer-AEC are advertised widely and are available on the 'Animal Ethics' webpage. These deadlines permit sufficient time for initial administrative consideration by the Secretary followed by ASSC review. This process ensures smooth and timely review of animal ethics applications by the QIMR Berghofer-AE.

#### A3.0 Distribution of Materials Prior to Meetings

The Secretary distributes research ethics applications and relevant documents to QIMR Berghofer-AEC members one week prior to the scheduled meeting.

#### A4.0 Meetings and Methods of Decision Making

**A4.1** The quorum for a QIMR Berghofer-AEC meeting must include at least one member from each Category A, B, C and D. Further, Category C and D members must represent at least one third of the total membership. Occasional participation by video, web or teleconferencing is permissible, provided the member has received all relevant material and can participate freely with other members. For situations where face-to-face meetings are not possible, virtual meetings (e.g. ZOOM) are to be held in accordance with procedures outlined in the QIMR Berghofer AEC Committee Standard Procedures Manual.

**A4.2** Members who are unable to attend a meeting are encouraged to contribute prior to the meeting via electronic, written or oral submissions to the Secretary or Chairperson. Members are especially encouraged to post their comments on E-forms.

**A4.3** When a QIMR Berghofer-AEC member is involved in a research project, he/she is required to declare his/her conflict of interest, real or potential, which is recorded in the meeting minutes. He/she may be required to leave the meeting before a final decision is made by the committee, to avoid any conflict of interest. QIMR Berghofer staff member are required to abide by QIMR Berghofer [Conflict of Interest Policy](https://intranet.qimrberghofer.edu.au/media/3671/27_conflict_of_interest_policy.pdf) available on the QIMR Berghofer intranet. [https://intranet.qimrberghofer.edu.au/media/3671/27\\_conflict\\_of\\_interest\\_policy.pdf](https://intranet.qimrberghofer.edu.au/media/3671/27_conflict_of_interest_policy.pdf)

**A4.4** Investigators can request to attend the AEC meeting, or request a phone call from the meeting, to discuss their application. Likewise, the AEC may invite investigators to a meeting, or telephone them during a meeting, to discuss their proposal.

**A4.5** Decisions by QIMR Berghofer-AEC are reached by general agreement rather than by majority vote. Where one or more committee members have serious concerns about a project, that concern must be addressed before approval is given. Where a vote is taken, approval requires a majority of the committee and a majority of the external members who are present. An abstention is taken to be a vote against the proposal.

#### **A5.0 Expedited Review of Proposal between QIMR Berghofer-AEC Meetings**

**A5.1** The QIMR Berghofer-AEC recognises that on occasion research protocols require modification more rapidly than the scheduled AEC meetings allow. The *Code* allows the institute to establish procedures for the effective governance and operation of the AEC that enable the AEC to comply with the *Code* and relevant institutional policies, and promote competent and timely review of animal care and use. In this instant the AEC is able to establish procedures including the appointment and delegation of functions to an AEC Executive. The AEC Executive can review and approve minor changes requested by the AEC and minor modifications to approved projects between meetings, for ratification at the next AEC Meeting. Modifications are only considered by the AEC Executive where the proposed change is not likely to cause harm to the animals, including pain and distress. The QIMR Berghofer-AEC Executive may not approve new proposals. New proposals must first be submitted to the ASSC for scientific review and must be submitted to the AEC for consideration at a quorate meeting, for approval.

**A5.2** The AEC Executive reviews minor modifications 1-2 times per month via virtual meetings. The schedule for Executive review is advertised to staff via the “Animal Ethics” web page. The Executive aims to provide comment to investigators within 7-9 working days from the submission deadline. The Executive Committee may:

- Decide that approval can be given subject to ratification at the next full committee meeting;
- Require amendment of the proposal;
- Require the modification to be reviewed by the full committee at the next AEC meeting; or
- Refuse to give approval.

**A5.3** All Executive decisions are subject to ratification by the full Committee at its next meeting. These decisions can be modified, suspended and/or withdrawn by the QIMR Berghofer-AEC if it deems necessary to do so.

**A5.4** The QIMR Berghofer-AEC acknowledges that under certain circumstances researchers may require AEC approval outside of scheduled AEC and Executive meetings, for the immediate use of animals, or for diagnosis of unexplained and severe disease outbreaks or morbidity/mortality in animals or people. For these scenarios, upon request by an Investigator for expedited approval the AES will organise out of session meetings as required so that the committee can consider such applications.

#### **A6.0 Preparation of Minutes and Recording of Decisions**

**A6.1** To encourage free and open discussion and to emphasise the collegiate character of QIMR Berghofer-AEC deliberations, particular views of individual members are not recorded in the minutes unless specifically requested.

**A6.2** The minutes are produced as soon as practicable following the meeting and confirmed by the Chairperson. The Committee's decisions are communicated to the investigator via E-forms once the minutes are confirmed by the Chairperson. The minutes are then circulated to members for confirmation. The confirmed minutes are also provided to Council. Copies of the confirmed minutes are included as part of the next AEC meeting Agenda for noting.

#### **A7.0 Prompt Notification of Decisions**

The Secretary notifies researchers of the QIMR Berghofer-AEC meeting outcomes as soon as practicable.

#### **A8.0 Researcher Compliance with AEC Decisions**

Researchers are expected to comply with decisions reached by the QIMR Berghofer-AEC and any other recommendations/conditions as required by collaborating AECs. Chief investigators must notify the QIMR Berghofer-AEC:

- if collaborating AECs place any provisos or reservations with respect to their approvals on the project, and/or
- If the project has been rejected by another AEC.

Where there were disagreements between AECs, QIMR Berghofer-AEC will work collaboratively with Principal Investigators and collaborating AECs to resolve matters.

#### **A9.0 Advice to QIMR Berghofer or Collaborating Research Institutes Regarding Discontinuation of Research Projects**

In cases of non-compliance and/or where circumstances warrant that a research project should be discontinued, the QIMR Berghofer-AEC will withdraw approval; notify the researcher/s, the QIMR Berghofer Director and QIMR Berghofer Management. The QIMR Berghofer-AEC will also recommend to any collaborating research Institutes that the research project be discontinued or suspended.

#### **A10.0 Reporting of Changes to Proposals**

All researchers are required to report any event that may warrant review of a proposals ethical approval, including:

- Deviations from the proposal;
- New information and/or unforeseen events that may affect continued ethical acceptability of the project; and
- Allegation or suspicion of scientific fraud.

## **A11.0 Reporting of Adverse/Beneficial Events**

**A11.1** All researchers are required to promptly notify the AEC regarding an event that may impact on the wellbeing of the animal or warrant review of ethical approval of the protocol, including:

- Unexpected adverse effects on animals and/or personnel;
- Any information that would indicate an increase risk to animals and/or personnel; and
- Findings that could be beneficial to the welfare of animals

**A11.2** For unexpected adverse events researchers are required to submit an adverse events report via E-forms. The guidelines for the reporting of adverse events can be found on the intranet under the 'Animal Ethics' webpage.

## **A12.0 Appropriate Monitoring**

The QIMR Berghofer-AEC requires:

- Adequate records related to AEC business are to be kept and maintained as outlined in Clause 2.2.30 of the *Code*;
- Regular inspections of all animal housing and laboratory areas by committee members;
- Annual reports from Principal Investigators;
- Immediate reports in the event of unexpected adverse effects on the wellbeing of animals and/or personnel involved in the project;
- Proposed changes in the research project to be submitted for approval before implementation;
- Safety approval granted prior to commencing work on projects/modifications;
- Immediate reports on any unforeseen events that may affect continued ethical acceptability of the project;
- Reports from researchers when the research project is discontinued;
- Access to interview researchers, as necessary;
- Reports from other staff or personnel in QIMR Berghofer, as necessary;
- Expert reports/reviews on matters (Internal or External), if required by the QIMR Berghofer-AEC; and
- Notification of published results/research publications.

The QIMR Berghofer-AEC may take action to ensure that a project complies with the terms of an approval including but not limited to; requiring a report from the Principal Investigator, interviewing the researcher/s, inspecting the laboratory and commissioning a review of the project (internal or external).

### **A13.0 Management of Non-Compliance**

- A13.1** QIMR Berghofer employees and members of the QIMR Berghofer community are expected to comply with the Code of Conduct<sup>1</sup>. The institute has established procedures for managing misconduct and serious misconduct<sup>2</sup> and research misconduct<sup>3</sup> that are available on the intranet.
- A13.2** Complaints and/or reporting of non-compliance concerning the care and use of animals by the institution, including conscientious objection in the case of teaching activities or on the process, conduct or decisions of the QIMR Berghofer-AEC should be made in writing to the Chairperson of the QIMR Berghofer-AEC via the Secretary.
- A13.3** The Chairperson or Secretary will acknowledge the receipt of the complaint/non-compliance report to the complainant within seven working days.
- A13.4** The Chairperson will consider the matter and will determine a course of action, which may necessitate an out-of-session meeting of the QIMR Berghofer-AEC.
- A13.5** The complainant will be notified of the decision of the QIMR Berghofer-AEC within 30 days of receipt of the complaint/non-compliance report.
- A13.6** If the complainant is unsatisfied with the decision conveyed by the QIMR Berghofer-AEC Chairperson, further consideration may be obtained by addressing the matter to the QIMR Berghofer Council.
- A13.7** The ultimate decision of the QIMR Berghofer-AEC, after the above procedure, cannot be overridden unless there was an error in due process.

### **A14.0 External Review Requirements**

- A14.1** Institutions must ensure that an independent external review is conducted at least every four years to assess the institution's compliance with the *Code*, and to ensure the continued suitability, adequacy and effectiveness of its procedures to meet its responsibilities under the *Code*.
- A14.2** The Institute will commission an external party with the skills, background and experience necessary to carry out an External review.
- A14.3** A copy of the final report will be provided to Biosecurity Queensland as per the registration conditions detailed in QIMR Berghofer's Scientific Use Registration.
- A14.4** If the Institute has any complaints or grievances with the conduct or final report of the external review these issues shall be raised with the reviewer to reach a mutually satisfactory conclusion on the matter.

## **A15.0 Fees and Charges**

QIMR Berghofer may levy fees and charges on ethical review of commercial sponsored research.

### **REFERENCES (Only accessible to QIMR Berghofer employees and AEC members)**

1. Code of Conduct (<https://intranet.qimrberghofer.edu.au/media/2312/21-code-of-conduct-approved-25-october-2016.pdf>)
2. Misconduct and serious misconduct ([https://intranet.qimrberghofer.edu.au/media/2769/g\\_corporatecouncil-businesspolicies-guidelinespolicy-register2-workplace-conduct-responsibilities22-misconduct-and-serious-misconduct-policy-approved-21-march-2017.pdf](https://intranet.qimrberghofer.edu.au/media/2769/g_corporatecouncil-businesspolicies-guidelinespolicy-register2-workplace-conduct-responsibilities22-misconduct-and-serious-misconduct-policy-approved-21-march-2017.pdf))
3. Research misconduct (<https://intranet.qimrberghofer.edu.au/media/1104/23-research-misconduct-policy-approved-6-december-2016.pdf>)