Animal Care & Ethics Committee

Annual Compliance and Animal Usage Report Guideline

As the Chief Investigator of a UNSW Animal Care and Ethics Committee (ACEC) approved project, you are required to complete and submit a separate online monitoring form for each of your projects for the reporting period:

1 January to 31 December

Your monitoring forms are to be submitted no later than **1 February** each year for the activities of the previous year. Your submission of the form is a mandatory legislative requirement, as each year the ACECs are required to monitor projects that use animals in research and teaching. Approval of your projects will be suspended should you fail to submit this compliance form.

To complete the online monitoring form:

1. On 1 January you will receive an automatic email notification from the iRECS system (donotreply@infonetica.net) requesting that you complete an Annual Compliance Report via the iRECS portal. Click on the hyperlink in the email notification to navigate to your project.

Annual Compliance and Animal Usage Report

DUE 1 FEBRUARY

Project Reference Number: ▨▨▨▨▨▨▨▨▨▨
Project Title: ▨▨▨▨▨▨▨▨▨▨▨▨▨▨▨▨▨▨

The Annual Compliance and Animal Usage Report for the above project has not been received within the required reporting period or requires revision and resubmission.

An Annual Compliance and Animal Usage Report must be submitted for the above project for the previous year (from 1 January to 31 December). The renewal of your Animal Research Authority is conditional upon the submission of a satisfactory annual report to the ACECs by the above due date. Please ensure that your report is submitted within 48 hours of this notification.

Submission Instructions:

1. Log in to iRECS and access the project https://irecs.unsw.edu.au/Project/Index/_____
2. Click on "Create Sub Form" button on the left-hand panel on iRECS.
3. Select 'Annual Compliance and Animal Usage Report' from the drop-down list.
4. Compete all sections of the form and submit it **by 1 February**.

Note: Prior to completing your report, review the 'Guidelines for Completing Animal Ethics Reporting' (available via iRECS' Templates page; Help > Templates) and ensure that the 'Fate' is provided for companion animals (domestic cats and dogs).

Approval for this project will be withdrawn if the monitoring compliance requirements are not met.

As part of the requirements of UNSW, the Chief Investigator must complete an annual/final compliance report for all current projects approved by the Pending AE Allocation. This requires the CI to indicate the current status of their research project and that they have conducted their research according to the Pending AE Allocation approved protocol.

2. Once you are on your project's overview page, click on the **Create Sub Form** button in the left-hand panel of the project page.

3. Select Annual Compliance and Animal Usage Report from the drop-down list. Click **Create**.
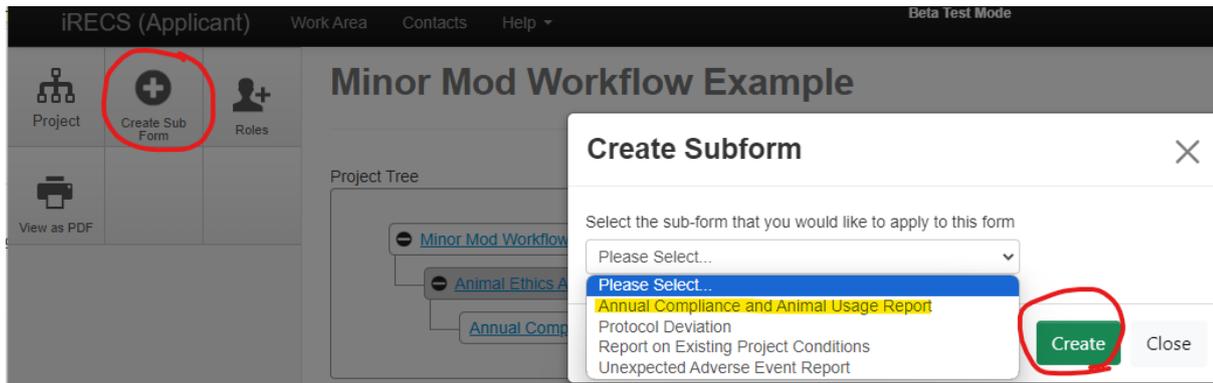
4. Once the form is created, navigate to '**Project Information'** and complete all sections of the form.
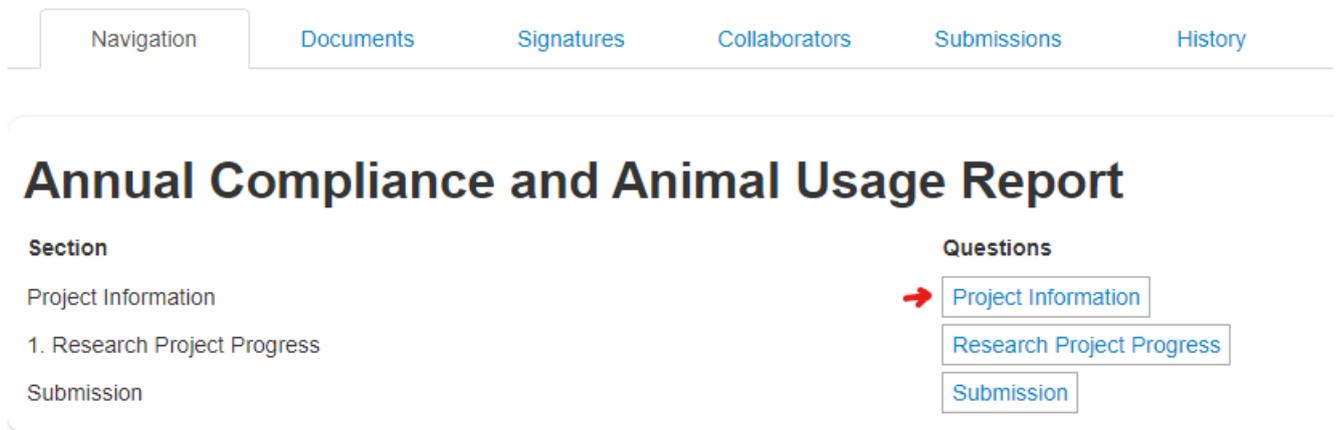
5. On the Project Information page, include your **iRECS Review Reference number** and ensure details of the Chief Investigator are correct.

Tip: *The iRECS Review Reference is listed in the Compliance email notification (shown below) or can be found on the Animal Ethics Application page (also shown below). Note that migrated Animal Ethics projects may have a different Review Reference format to the example shown.*

Email Notification:

Animal Ethics Application iRECS page:

AE New Example

Project Tree

- AE New Example
  - Animal Ethics Application   1. Click on the Animal Ethics Application link
    - Annual Compliance and Animal Usage Report

Action Required on Form	Status	Review Reference
No	Approved with Conditions	iRECS4878

2. This is the review reference

6. **Research Project Progress**: Under 1.1 indicate the year on which you are reporting (this will be the previous calendar year) and complete each section of the report. Click **Next** Page to navigate to the next page.

7. Click **Next** to navigate to the Submission page and click on the Completeness Check button on the left-hand panel to verify that all mandatory sections have been filled out. Click on any sections that appear in the Completeness Check list and complete the missing fields.

Previous	Next	Navigate
View as PDF	Documents	Signatures
Save	Roles	Collaborators
Completeness Check	Submit	
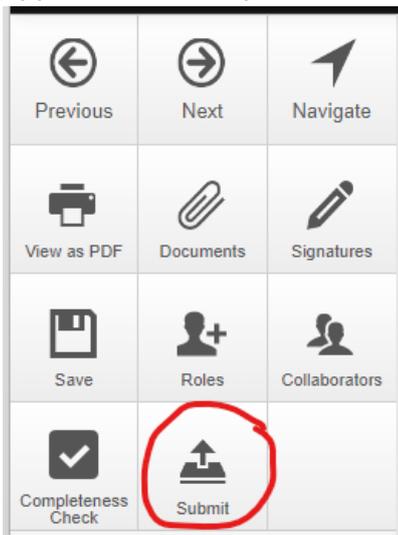
8. Click the **Submit** button to submit the Annual Compliance Report or Monitoring Compliance Report. A final Completeness Check pop-up will appear, click Submit to complete the submission process.

Important notes:
- If no animals were used during the reporting period, completion of the form is still required.
- For any project expired at the time of completing the report - mark the status as 'completed'.
- Ensure any reported deviations from the approved protocol are recorded under question 2.1. This does not include adverse events unless they have been found to result in a deviation.
- Ensure that the procedure chosen reflects the highest appropriate numerical code (1-9) from those listed in the above guidelines. Generally, this reflects the procedure/s with the highest impact. See procedural categories below.

Important notes (cont.):

- Ensure that you correctly answer the question regarding Schedule 8/9 drugs. This applies if you have authority to hold these substances even if you have not used Schedule 8/9 drugs during the calendar year.
- You are recommended to **Save** your form regularly to avoid loss of data.

The RECS unit will be checking all submitted monitoring forms. You may be required to resubmit your monitoring form if questions are not adequately addressed. In this case, you will be notified by automated system email and the submitted form will be reverted to a draft format for you to edit.

If you have received a notice to resubmit a monitoring form, please log back into the form using the hyperlink within the email and amend the form before resubmitting.

Please direct any monitoring form enquiries to animalethics@unsw.edu.au.

Explanatory Notes

The NSW Department of Primary Industries collects information on Animal Care & Ethics Committee (ACEC) activity and animal use in research and teaching which occurred in NSW during the calendar year (i.e., 1 January to 31 December). Under the Animal Research Act 1985 this information must be submitted by all accredited animal research establishments and holders of Animal Research Authorities by 31 March of the following year.

What happens to the information collection?
The information is collated and published on the Animal Ethics Infolink website (without identification of individual establishments).

General Animal Use Statistics

Introduction - The animal use statistics groups research or teaching into categories which will give some indication of the impact of the work on the animals. Animals should be counted in each project where they are used and should be included for each calendar year.

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.

Multiple species and/or procedures in a single project - Some projects will have more than one species group of animals. Each species used must be reported. Some projects will have animals which are subject to different categories of procedures. Enter the highest appropriate numerical code (1-9) from those listed to describe the type of procedures carried out on the animals in the project. This may occur, for example, where control and test groups of animals are subjected to different procedures. Another example would be wildlife surveys where a variety of species are involved.

Fate of animals – Domestic cats & dogs only - This information MUST be completed where species 31 Domestic cats or 32 Domestic dogs have been used. See below for further information on reporting on the fate of the animal.

Stages of development - Some projects, for example breeding or genetically modified animal production, may use animals which are at a very early stage of development. Others may use embryonated eggs. It is reasonable to count only those immature forms which have reached a certain stage of development.

The following is a guide as to what to include and what not to include:
- In general, include embryonic, foetal and larval forms once the development of that form has progressed beyond half the gestation or incubation period for the species, or it becomes capable of independent feeding, whichever is sooner. Some differences are listed for Amphibians and Fish in the following summary:
- **Mammals:** From half-gestation onwards Birds   From half-incubation onwards Reptiles   From half-incubation onwards
- **Amphibians:** Fully metamorphosed juveniles and older
- **Fish:** Fully metamorphosed juveniles and older

Where the procedure is carried out on an immature form which then goes on to develop to the above stage or beyond, (e.g., manipulation of day-old embryos which then develop and are born), these should be included.

Re-use of animals - Each year, an animal should be counted for each project in which it is used. For example, where animals are used repeatedly in one project (e.g., teaching animal handling once a week) these animals are counted once for their inclusion in this project. If the project is renewed the following year, then they are counted once again in that subsequent year. If these same animals are used in two projects in one year (e.g., weekly handling and a short behavioural study), they will be counted twice - once for each project.

It is important that they are counted in this way as this more closely reflects the overall use of animals for research and teaching. It may be noted that an animal has been re-used in the comments column, but this is not mandatory.

Production of genetically modified animals - The production of genetically modified animals can involve a wide range of procedures, making it difficult to assign them to a particular category of procedure. 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 which are used in a different category of procedure.

Wildlife surveys and observation studies - For wildlife surveys and observation studies, if individual animals are unable to be identified or individually counted, (for example: acoustic recording of frog calls, visual estimates of flying bats or remote camera images to detect species presence or absence) then these do not need to be reported. Estimates of numbers should not be reported. Such reporting leads to inaccuracy in reporting of numbers used and over-reporting.

Field studies - In reporting field studies using animals primarily held for commercial purposes, care should be taken only to report the animals involved in the study, not the whole herd / flock, as this results in over- reporting.

Guidance on specific questions

SPECIES AND ANIMAL USE

Select the species or species group used in the project.

Laboratory mammals	01	Mice
	02	Rats
	03	Guinea Pigs
	04	Rabbits
	05	Hamsters
	06	Ferrets
	07	Other laboratory mammals (not primates)
Domestic mammals	08	Sheep
	09	Cattle
	10	Pigs
	11	Horses
	12	Goats
	14	Deer
	31	Cats
	32	Dogs
	33	Other domestic mammals
Birds	13	Poultry
	16	Exotic Captive
	17	Exotic Wild
	18	Native Captive
	20	Native Wild
	21	Other birds
Aquatic animals	23	Fish
	23A	Cephalopods (reporting not mandatory)
	23B	Crustaceans (reporting not mandatory)
Amphibians	24	Amphibians
Reptiles	27	Lizards
	28	Snakes
	29	Turtles and Tortoises
	30	Other reptiles

Primates	34	Marmosets
	35	Macaques
	36	Baboons
	37	Other primates
Native mammals	38	Macropods
	39	Possums and gliders
	40	Native rats and mice
	41	Dasyurids
	42	Wombats
	43	Koalas
	44A	Monotremes
	44B	Bandicoots
	44C	Bats
	44D	Other native mammals
	44E	Seals
	44F	Whales and dolphins
Exotic feral mammals	45	Camels
	46	Cats
	47	Cattle
	48	Goats
	49	Hares
	50	Horses
	51	Mice
	52	Pigs
	53	Rabbits
	54	Rats
	55A	Dingo/Wild Dogs
	55B	Foxes
	55C	Other exotic feral mammals
Exotic zoo animals	56	Exotic zoo animals

NUMBER USED

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

FATE OF ANIMAL – Companion animals (cats & dogs) only

As of 2019 reporting period, additional information on the fate of the animal MUST be completed where species 31 Domestic cats or 32 Domestic dogs have been used. For each project using these species, include in Section 13 'comments' of the online form the fates of animals using the below Fate Code.

If all animals under one project have experienced the same fate, please indicate this and provide the 'Fate Code'. However, where there are different fates of animals within the same project, please create use the '**Add Another**' button to indicate the number of animals that have experienced each fate. For example: F1 = 3 dogs F4 = 6 dogs

Fate Code	Description
F1	**Retained in project** This is where the project is ongoing and the animal will remain in the project in the next reporting year.
F2	**Retained for use in other projects or supplied to another establishment / individual for research** This is where the animal is kept by the establishment / individual for use in other research projects or supplied to another establishment / individual for use in research.
F3	**Retired from research and kept by the establishment / individual** This is where the animal is kept by the establishment / individual in retirement with no further plans for use in research.
F4	**Privately (non-research) owned and remained with owner** This is where the animal is privately owned and remains with the owner. *Examples:* • *Animal presented to veterinary clinic for treatment and participates in clinical trial* • *Behavioural study with privately owned companion animals*
F5	**Rehomed (as companion animal to private (non-research) home or rehoming organisation)** This is where the animal is rehomed as a companion animal to a private (non- research) home or to a rehoming organisation with the consent of the rehoming organisation.
F6	**Euthanased or died related to the project** This is where the animal is required to be euthanased as an integral part of the research project, or is euthanased or dies during the project as a consequence of the project procedures.
F7	**Euthanased or died unrelated to the project** This is where the animal is euthanased or dies during the project for reasons unrelated to the project. *Example:* • *Animal in long-term food palatability trial euthanased due to unmanageable osteoarthritis*
F8	**Euthanased because unsuitable to be rehomed** This is where the animal is no longer required for research and is euthanased on the basis of an assessment that the animal is unsuitable for rehoming. Reasons the animal is unsuitable for rehoming may include physical, behavioural and biosecurity factors. *Examples:* • *Animals with unmanageable health conditions causing discomfort or distress* • *Animals that have problem behaviours that are unable to be addressed through rehabilitation* • *Animals that could pose a biosecurity risk to other animals, people or the environment* • *Animals that are genetically modified*
F9	**Euthanased because unable to find a suitable home** This is where the animal is no longer required for research and is assessed as suitable for rehoming, but is euthanased because a suitable home is unable to be found.
F10	**Remain free living in the wild or released to the wild** This is where the animal is free living and remains in the wild (including where the animal is captured and released) and where the animal is released to the wild. *Examples:* • *Wildlife fauna surveys* • *Native animal captive breeding and monitored release programs*

PURPOSE

Note that the purpose and procedure categories outlined are for NSW based projects. For interstate categorisation of purpose and procedure, please contact animalethics@unsw.edu.au for assistance.

Enter the most appropriate numerical code (1-10) 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	**Stock breeding** Breeding projects to produce new teaching or research stock. Include the animals used to produce progeny and any breeders or progeny culled in the process, NOT the final progeny themselves (as these will be counted under the project in which they go on to be used).
2	**Stock maintenance** Holding projects for animals maintained for use in other projects. These animals may be maintained under an Animal Research Authority (i.e. ethics approval) because they require special management. If they are not held under an Authority, (eg. normal stock animals kept mainly for commercial production, but occasionally used in research) then they are only counted in the project where they are used for teaching/research. *Examples:* • *Fistulated ruminants which are maintained under a holding project, for use in other short term feeding trial projects* • *Non-breeding colony of diabetic rats held for research in other projects*
3	**Education** Projects carried out for the achievement of 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. *Examples:* • *Animals used by veterinary schools to teach examination procedures such as pregnancy diagnosis* • *Sheep used in shearing demonstration classes for students; Dogs used to teach animal care to TAFE students*
4	**Research: human or animal biology** 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.
5	**Research: human or animal health and welfare** Research projects which aim to produce improvements in the health and welfare of animals, including humans.
6	**Research: animal management or production** Research projects which aim to produce improvements in domestic or captive animal management or production.
7	**Research: environmental study** 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. *Examples:* • *Pre-logging or pre-development fauna surveys*
8	**Production of biological products** Using animals to produce products other than milk, meat, eggs, leather, fur, etc. *Examples:* • *Use of a sheep flock to donate blood to produce microbiological media* • *Production of commercial anti-serum* • *Production of products, such as hormones or drugs, in milk or eggs from genetically modified animals* • *Quality Assurance testing of drugs* **but do not include animals which come under Purpose 10, below.**
9	**Diagnostic procedures** Using animals directly as part of a diagnostic process. *Examples:* • *Inoculation of day old chicks with ND Virus to determine virulence* • *Water supply testing using fish*

10	**Regulatory product testing** Projects for the testing of products required by regulatory authorities, such as the APVMA. If the product testing is not a regulatory requirement, eg. it is part of a quality assurance system only, those animals should be included in the appropriate category selected from above. (This would be normally be Category 8 (Production of biological products) in the case of QA testing.) *Examples:* • *Pre-registration efficacy or toxicity testing of drugs and vaccines*

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.

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

Procedure Number:	Description:
1	**Observation 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* • *Breeding animals for supply, where only normal husbandry procedures are used* • *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 and grooming*
2	**Animal Unconscious Without Recovery** Animal is rendered unconscious under controlled circumstances with little or no pain or distress. Capture methods are not required. Any pain is minor and brief and does not require analgesia. Procedures are carried out on the unconscious animal which is then killed without regaining consciousness. *Examples:* • *Laboratory animals killed painlessly for dissection, biochemical analysis, etc* • *Teaching surgical techniques on live, anaesthetised patients which are not allowed to recover following the procedure*
3	**Minor Conscious Intervention** 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. *Examples:* • *Injections, 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* • *Trapping and humane euthanasia for collection of specimens* • *Stomach tubing, shearing*
4	**Minor Surgery With Recovery** Animal is given appropriate regional or general anaesthesia with as little pain or distress as possible. A minor procedure such as cannulation or skin biopsy is carried out and the animal allowed to recover. Depending on the procedure, pain may be minor or moderate and postoperative analgesia may be appropriate. Field capture using chemical restraint methods is also included here. *Examples:* • *Biopsies* • *Cannulations* • *Sedation/anaesthesia for relocation, examination or injections/blood sampling* • *Castration with regional or general anaesthesia and post-operative analgesia*

5	**Major Surgery With Recovery** 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. *Examples:* • *Orthopaedic surgery* • *Abdominal or thoracic surgery* • *Transplant surgery*
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* • *Induction of metabolic disease* • *Prolonged deficient diets* • *Polyclonal antibody production* • *Antiserum production*
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 which 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 Endpoint** This category only applies in those rare cases where the death of the animal is a planned part of the procedures and animals die but are not euthanased. 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. It does not include: death by natural causes; animals which are euthanased as part of the project; animals which are euthanased if something goes wrong; animals euthanased for dissection or for use as museum specimens; or accidental deaths. *Examples:* • *Lethality testing (including LD50, LC50)*
9	**Production of genetically modified animals** This category is intended to allow for the variety of procedures which occur during the production of genetically modified animals. As animals in this category may be subjected to both minor and major physiological challenges and 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. *Examples:* • *Initial breeding animals for GM production* • *Animals culled as part of the GM production process*