UNIVERSITY COLLEGE DUBLIN

UCD Internal Audit

Research Ethics Compliance Review (Animals)
Internal Control Questionnaire

Version 1.0

No.	Audit Objective	Audit Test Questions / Procedures	Response / Result / Finding (Attach documentation if relevant)
1.	**Awareness of Policies and Guidelines** Audit Objective is to confirm that staff and students have informed themselves of the relevant AREC Policies and Guidelines.	Have you read: AREC 1 Operating Procedures and Guidelines AREC2 Policy on the Use of Animals in Research and Teaching AREC5 Policy on Breeding and Maintenance of GM Animals AREC7 Policy on the Use of Post-Mortem Tissue from Animals	

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2.	**Ethical Approval and Licences** Audit Objective is to confirm that all necessary ethical approvals and DOH licences are in place.	Obtain a copy of all ethical approvals. Obtain a copy of any requests for amendments, revisions or extensions and check that these were approved by AREC. Obtain all licences received from DOH in relation to the work and check that all staff and students carrying out such work have a licence or are included on the licence.	

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3.	**Training** Audit Objective is to ensure that all staff and students are signed off as being competent to perform licensed procedures on animals before carrying them out unsupervised.	Have all staff and students performing licensed procedures attended a relevant training course (e.g. animal handling). Obtain evidence of attendance / certification. Are these attendance / certification records accessible in the event of an inspection by DOH officials.	

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4.	**Severity Banding** Audit Objective is to confirm the severity banding of animal work is kept under review to ensure that it remains within the limits approved / licensed for each research project.	Discuss with team leader.	

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5.	**Application of Humane Endpoints** Audit Objective is to confirm that records are maintained to ensure that any humane endpoints are applied in accordance with AREC recommendations.	Discuss with team leader to establish if records are maintained. Obtain copies of any records.	

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6.	**Records for DOHC Licensing Regulations** Audit Objective is to ensure that information required under DOHC Licensing Regulations for each procedure is recorded and accessible.	Check from a sample of licensed procedures whether the following records, which are required under DOH licensing conditions, have been maintained: a) the date on which the experiment was performed; b) the address of the establishment where the experiment was performed; c) the nature, purpose and duration of the experiment; d) the number of animals used in the experiment; e) the species and strain of each animal used in the experiment; f) whether the animal was obtained from a breeding establishment, a supplying establishment or another source; g) whether anaesthesia, analgesic or another method was used to relieve the animal's pain, distress or suffering and, if so, the type of anaesthesia, analgesic or method; h) whether the animal had been used in a previous experiment; i) whether the animal was kept alive, set free or killed at the end of the experiment; j) if the animal was killing the final disposition of the carcass.	

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7.	**Reporting of Adverse Events** Audit Objective is to ensure that any adverse events in the course of the animal research have been reported to AREC.	Discuss with team leader to ascertain if there have been any adverse events and, if so, whether these adverse events were reported to AREC. Obtain copy of any correspondence with AREC in relation to adverse events.	