

**AgResearch Limited**

**CODE OF ETHICAL CONDUCT**

**For the Use of**

**Animals for Research, Testing and Teaching**

**Version 5.**

**13 June 2022**

**20 December 2018 to 19 December 2023**

#### AgResearch Limited. 5 October 2018

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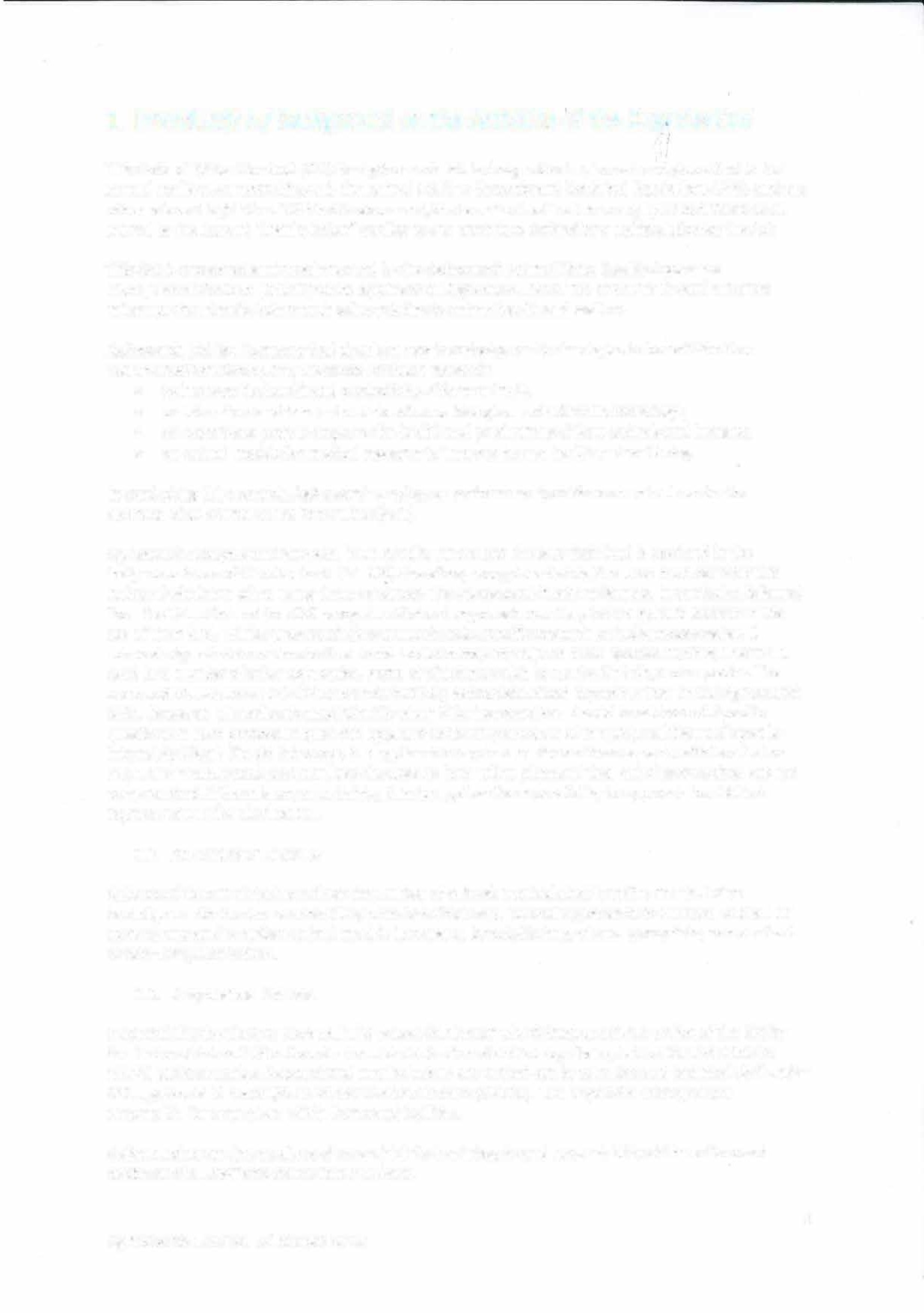
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1. **Introduction / Background on the Activities of the Organisation**

This Code of Ethical Conduct (CEC) for AgResearch Ltd. is designed to implement and give effect to the Animal Welfare Act 1999 (the Act), the Animal Welfare (Records and Statistics) Regulations 1999, and any other relevant legislation. Within this document, the term "animal" refers to any species defined as an animal by the Act and "manipulation" applies to any procedure defined as a manipulation by the Act.

This CEC is supported and supplemented by the AgResearch Animal Ethics Quality Assurance Management Protocol (QAMP) which applies to all AgResearch AECs. The QAMP is the authoritative reference that details AgResearch policy relating to animal health and welfare.

AgResearch Ltd. is a Company that develops new knowledge and technologies to benefit the New Zealand Pastoral Sector, and therefore conducts research:

* + to improve the health and productivity of farm animals,
  + on laboratory and farm animals to advance biological and scientific knowledge,
  + on vertebrate pests to improve the health and productivity of farm animals and humans,
  + on animal models for medical research to improve human health and wellbeing.

In conducting this research, AgResearch employees perform manipulations on animals under the approval of an Animal Ethics Committee (AEC).

AgResearch is cognisant that Maori have specific interests in the way their land is used and in the indigenous fauna of New Zealand. This CEC, therefore, recognises that AgResearch must operate with tiaki and whakaute when using these resources. The AgResearch Ruakura Campus, in particular, is leased from the Tainui iwi and this CEC recognises that as tangata whenua they have a specific interest in the use of their land. While AgResearch does not undertake specific research on indigenous species, it acknowledges that from time to time some research may impinge on these species. Further, this CEC is used by a number of other companies, some of which may wish to work with indigenous species. The work undertaken under this CEC does not routinely necessitate Maori representation on the AgResearch AECs. However, all applicants must identify when Maori perspectives should be addressed. Specific questions in each proposal require the applicant to identify any area of the proposal that is of specific interest to Maori. Should this occur, the applicant is required to discuss these aspects with local iwi or hapu, and include evidence that these discussions have taken place and that Maori perspectives are not compromised. If there is any uncertainty, it is the applicant's responsibility to approach local Maori representatives for clarification.

### RTT and the Three Rs

AgResearch is committed to reduce the number of animals manipulated; to refine manipulation techniques with the aim of minimising harm to animals and maximising benefits to humans, animals or ecosystems; and to replace animal models in research by substituting, where appropriate, non-sentient or non-living alternatives.

### Responsible Persons

Responsibility for the CEC rests with the Director Research Operations who delegates administration of the CEC to the National Animal Ethics Coordinator. Administration of AEC's is by Chairs, Animal Welfare Officers (AWO) and secretaries. Research and manipulations are carried out by scientists and technical staff under AEC approval and oversight of Animal Welfare Officers (AWO's). The respective managers are responsible for operations within farms and facilities.

AgResearch promotes a culture of care which fosters integrity and accountability of the actions and decisions of all staff and committee members.

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* 1. **Persons/Organisations under the CEC**

This CEC applies to AgResearch and its employees. In addition, AgResearch may from time to time enter into a parenting agreement with other organisations who elect to operate under this CEC.

All organisations that enter into an Animal Ethics parenting agreement with AgResearch and their employees undertake to comply with this CEC.

All individuals in either AgResearch or parented organisations that use animals for research, testing or teaching (RTT) under the approval of an AgResearch AEC must be familiar with this CEC.

Guidelines to determine the need for AEC approval are on the Animal Ethics pages of the AgResearch Gateway website. Should any person require further clarification, the Chair of an AEC should be contacted.

## Establishment, Functions, Powers and Membership of the Animal Ethics Committee

* 1. **Functions, duties and powers of the Committee**

AECs shall be established, in accordance with the Act, to consider ethical matters pertaining to the manipulation of animals, by AgResearch staff as well as the manipulation of animals by organisations approved to use AgResearch AECs.

The number and location of AECs may change if AgResearch reviews its structure and locations. Operationally all AgResearch AECs function under a single CEC and a single QAMP.

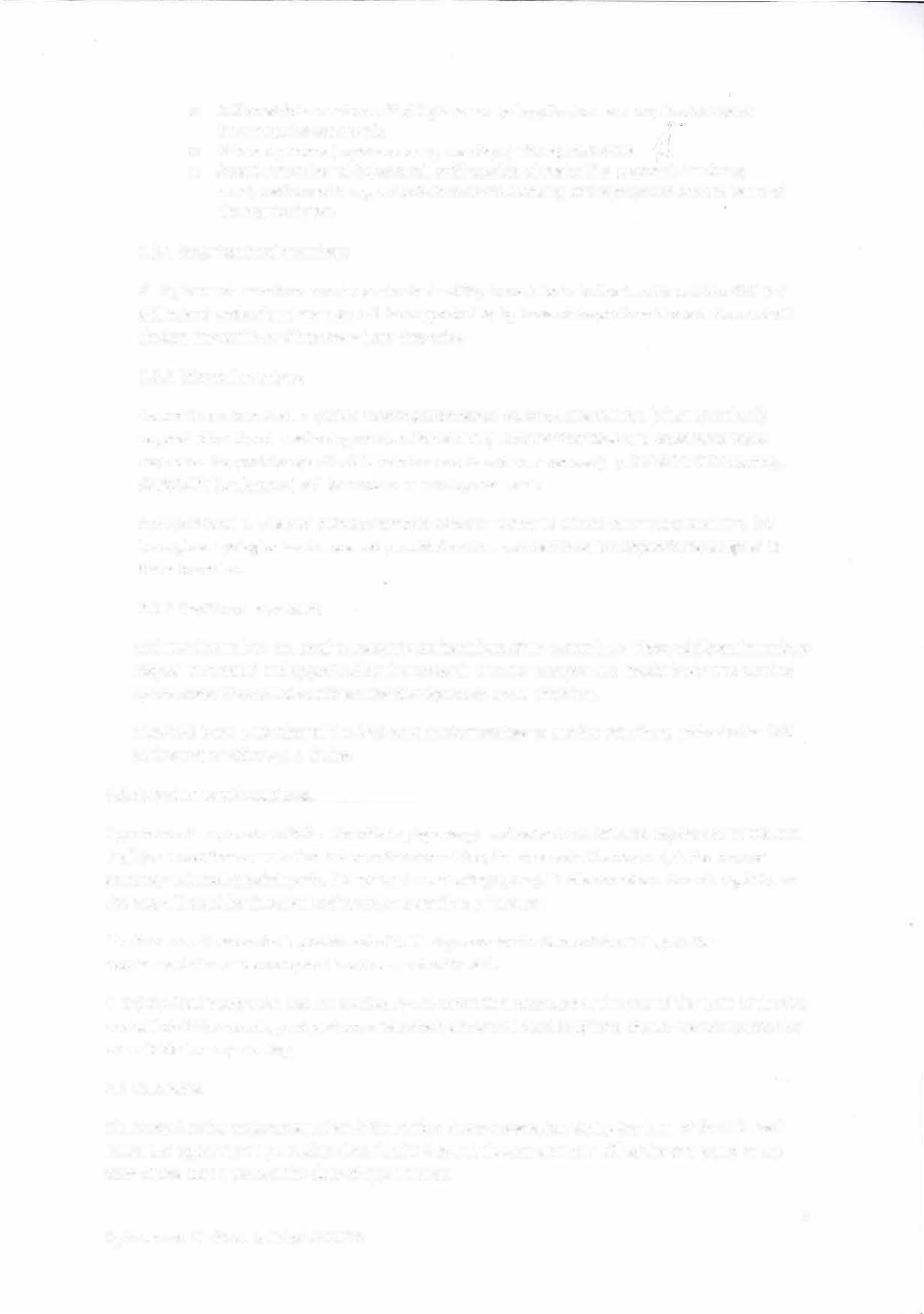
Should an AgResearch AEC be disbanded, all projects currently approved, including those of any external party using the disbanded AEC, and any obligations under the code relating to those projects will be passed to another AgResearch AEC for consideration.

* 1. **Membership of the AEC**

The members of each AEC shall be appointed by the AgResearch Director Research Operations for the period of the CEC in effect. Each AEC will consist of the following members:

* + - A senior member of AgResearch staff capable of evaluating proposals involving manipulations with regard to factors as the standing of the proposer and the value of the manipulation. This person may or may not be a committee chair;
    - A nominee of the Royal New Zealand Society for the Prevention of Cruelty to Animals who is neither affiliated with AgResearch nor involved in the use of animals for research, testing or teaching;
    - A nominee of a territorial authority or regional council who is not affiliated with AgResearch, the scientific community or any animal welfare agency;
    - A veterinarian nominated by the New Zealand Veterinary Association who is not affiliated with AgResearch;
    - Up to four additional members as requested by the AEC to assist the functioning of the committee such as;
      * A member of AgResearch staff responsible for the procurement, production and

maintenance of the animals;

* + - * A Biometrician on the staff of AgResearch (all applications are required to have a biometrical assessment);
      * External persons (supernumerary members) with specific skills.
      * A senior member of AgResearch staff capable of evaluating proposals involving manipulations with regard to factors such as the standing of the proposer and the value of the manipulation.
    1. Organisational members

All AgResearch members are chosen for their ability to contribute to the functions of the AEC in a skilled and professional manner, will be supported by AgResearch to perform those duties and will declare any conflicts of interest where they arise.

* + 1. External members

External members shall be paid a meeting attendance fee and a site visit fee {when specifically requested to attend monitoring or educational visits) to cover their time and reasonable travel expenses. Support for specific AEC member events and conferences {e.g. NAEAC AEC Workshop, ANZCCART Conference) will be made on a case by case basis.

A proportional fee may be paid to members who are unable to attend committee meetings but have given apologies in advance and provided written comments on the applications assigned to them to review.

* + 1. Additional members

Additional members are used to assist the deliberations of the committee. These additional members may be nominated and appointed by the Director Research Operations, to assist on a regular basis or seconded by the committee to act as Subject Matter Experts on an ad hoc basis.

The AWO is not a member of the AEC but attends meetings to provide veterinary advice to the AEC and report on other AWO duties.

### 2.3. Appointment Procedures

Appointments are made with the aim of bringing a range and balance of skills and experience to the AEC shall be made after consultation between the committee, the Director Research Operations, and, in the case of statutory external appointments, the relevant nominating agency. Further consideration of eligibility for the role will consider time availability and any conflicts of interest.

The Director Research Operations shall appoint each AEC Chairperson for the term of the CEC upon the recommendation and subsequent endorsement of the AEC.

A Deputy AEC Chairperson shall be elected by the committee members at the start of the term of the CEC and will chair the meeting and perform other chairperson's duties as required should the Chairperson be unavailable for any meeting.

### Vacancies

The procedure for replacement of an AEC member due to resignation during the term of the CEC shall follow the appointment procedure described in 2.3, and the appointment will expire at the end of the term of the CEC in place at the date of appointment.

##### Induction and Training of New Members

At the time of appointment, each new member will be given a one-on-one training session with either the AEC Secretary or the AEC Chairperson. At this time the member will be instructed where to access electronic versions or given hard copies of the following:

* A copy of the current AgResearch CEC;
* A copy of the current AgResearch AEC QA Protocol;
* Information guide for external access to the AgResearch Animal Ethics Database (AED);
* Animal Welfare Act 1999, and amendments;
* NAEAC Induction pack;

Improvement of the knowledge and skills of AEC members shall be facilitated by the distribution of appropriate literature, access to AgResearch Knowledge resources, attendance at conferences (e.g., ANZCCART), AEC workshops, (e.g., NAEAC), and contact with AgResearch staff and outside experts. Literature such as ANZCCART News, NAEAC Reports and Guidelines, and Welfare Pulse are distributed among all internal and external committee members, in addition to the circulation of AEC documents, to complement their knowledge of relevant matters. Other training material shall be made available as it is developed. AEC members are encouraged to ask for support and training should they be aware of an opportunity they wish to take.

##### Term of appointment

Appointments shall be made for the term of the CEC current at the date of appointment, renewable by negotiation between AgResearch and the nominating body where relevant.

## AEC Procedures

The AEC operational procedures described here are expanded on in the QAMP.

##### AEC meetings

Applications, modifications to applications, reports and other relevant communication are discussed by AECs at scheduled meetings and responses agreed to by consensus.

##### Frequency of Meetings

Scheduled face to face meetings shall be held at least ten times per year. Generally, Grasslands and lnvermay Committees meet monthly and Ruakura Committee twice per month.

If members are unable to attend a meeting, they may return a written response to the secretary to be read out and any questions addressed at the meeting. Attendance is recorded in the minutes.

##### Timing for Circulation of Agenda Items

The AEC secretary organises the meetings, AEC visits or attendance at the meeting by applicants. The agenda is set by the secretary and chairperson and distributed by the secretary. Meeting documents, agenda, minutes and AEC communication are circulated to the committee at least one week before the meeting either electronically or if requested, in hard copy form via courier.

Applications for urgent consideration are discouraged, and will not be accepted for severity grades D or E. Urgent requests that meet criteria for review, shall be circulated and may be approved by the consensus agreement of all members of an appropriate sub-committee. A sub-committee shall consist of three members, at least one of whom shall be a statutory external member as defined under section 101 subsections (5), (6) and (8) of the Act and one is the chairperson. All decisions by a sub-committee will be reviewed for ratification at the next meeting of the AEC.

The AED is available for committee members to access documentation at any time and material for the upcoming meeting is clearly distinguishable by its status.

The AEC secretary records the meetings and keeps minutes.

##### Quorum

A quorum for scheduled meetings shall consist of at least 50% plus one, of the current members of the AEC, at least two of whom must be statutory external members as defined under section 101subsections (5), (6) and (8) of the Act, and one must be the chairperson or deputy chair person.

##### Decision Process

Decisions of the AEC are made by consensus only and if this cannot be reached a project will not be approved.

In the event of a conflict of opinion which cannot be resolved, members have recourse through:

* + - Direct access to the Director Research Operations;
    - Advice from NAEAC through their secretariat in the Ministry of Primary Industries;
    - The nominating body for external members;
    - Consultation with a subject matter expert .

##### Conflict of Interest

AEC members must declare any potential conflict of interest to the meeting before the matter concerned is discussed. The AEC shall be responsible for establishing the protocol to manage such potential conflict on a case by case basis.

Where a member of the AEC is the principal investigator or has a significant contribution to a project being considered, the member may provide information if asked but must retire from the deliberation on the approval or non-approval of the project.

Where a member of the AEC is named on a proposal but is acting in a largely advisory or supply capacity, this shall not be deemed a conflict of interest.

All declarations of conflict of interest, the nature of the conflict and the way that conflict was managed, will be minuted by the secretary and electronically added to the application.

##### Effective Input of Committee Members

##### All members shall receive full copies of all applications and shall have equal opportunity to contribute to the business of the meeting. Chairpersons will ensure that all members, particularly statutory external representatives, have contributed and are satisfied with the discussion prior to any decisions being made.

Relevant researchers and staff named on projects will be made available at the request of any AEC member, to obtain all the additional information and answer questions regarding the applications made to the AEC.

##### Confidentiality

To ensure the security of commercially sensitive information all AEC members, internal and external, shall sign a standard confidentiality agreement, breach of which may *give* rise to personal liability in civil law.

Members are expected to keep all documents in a secure place. Documentation held by members of the committee shall be returned when no longer required and destroyed by the secret ary. No documentation shall be released unless approved by the Chairperson.

##### Use of Tele/Video Conferencing

All meetings are face to face or online for a quorum of AEC members.

Tele/video conferencing or written notes may be used to enable contributions by other AEC members or the AWO who tender an apology. However, preference is for attendance in-person.

##### Consideration between Meetings

If points of clarification or minor decisions are required between meetings, an AEC may authorise the Chairperson or a sub-committee (the membership of which is agreed by the AEC but must include at least one statutory external member) to make decisions on the AEC's behalf. All activity between meetings will be added to the agenda of the next meeting for discussion for ratification.

##### Public Presence at Meetings

AgResearch is a Crown Research Institute, and therefore not subject to the Local Government Official Information and Meetings Act 1987. Consequently, AgResearch AEC meetings are not open to public attendance. Information about AEC meetings is official information under the terms of the Official Information Act 1982, and requests by members of the public for its release are to be treated as requests pursuant to that Act.

##### Applicant Presence at Meetings

The presence of applicants at meetings is encouraged when the AEC considers a project in an area that is unfamiliar to it. This attendance will preferably be before the application is submitted to the AEC but definitely before it is considered.

Where the committee has an unexpected request for detailed information during discussions that can be best answered by the applicant or project personnel, they may be invited to the meeting or called by tele/video conference.

In all cases, applicant or project personnel must not be present in any capacity during AEC deliberations on the project. All attendance at meetings is recorded on the meeting agenda and minutes.

##### Secretarial support

Persons with appropriate skills shall be employed as secretarial support to the AEC. The secretary shall prepare the agenda, draft the minutes and circulate the documentation and correspondence used by the committee. The secretary shall not contribute to the AEC deliberation except for clarification of details for minutes and decision recording.

##### Record keeping and Information Management

Records of the agenda, minutes, decisions, correspondence with investigators, site visit reports, application forms and all other relevant documentation shall be securely stored in hard copy or electronic form for not less than ten years. At the end of this period, they will be securely destroyed or deleted.

Electronic documentation is stored on the AED which is a secure database with restricted access. AEC members can only see applications to their committee. Project documents can only be accessed by the AEC, National AE Coordinator, secretarial staff, AWO and personnel named on the project. Once a form is submitted to the AEC (in SUBMIT status), it is locked for editing by project personnel. If the AEC requires changes to be made, an application can be unlocked for editing, only by the Chair or secretary. All status changes to forms are electronically dated, and time and person stamped. Editorial changes are also recorded by an audit copy.

##### Reporting of Statistics to MPI

Project applications must indicate the proposed number of animals and the expected grading of the manipulation. A completed electronic Animal Use Statistics form is required to be submitted to the AEC within six weeks of a project end date. The severity grade may be revised by the AEC at any time such as during discussion of the project or monitoring visits.

Each AgResearch AEC must maintain records of the number of animals manipulated in accordance with the requirements of the Animal Welfare (Records and Statistics) Regulations 1999 (AWR) for five years after the end of the year to which they relate.

Animal use statistics shall be provided to MPI in the prescribed format on or before 28 February each year or within seven days of a request from MPI (or any inspector appointed under the Act) for informat ion. The animal use statistics shall be for AgResearch and any parented organisation by specific request/arrangement.

##### Process to amend the CEC

If at any time the AEC determines that this CEC should be amended, a recommendation will made to the Director Research Operations as the Code holders representative and signatory. Should amendments be required as a result of any such recommendation from an AEC these will be notified to the Animal Health and Welfare Directorate of the Ministry for Primary Industries (MPI).

# Consideration of Projects by the AEC

##### Criteria for Consideration

Criteria that must be taken into account by committees in considering project applications are set out in section 100 of the Act, and further detailed in the QAMP. The criteria specified in section 100 (a-1) of the Act are included in the AE Application in a way that makes an answer compulsory.

Special emphasis shall be given to the experience and qualifications of staff to ensure proficiency in the subject of the study, its procedures, related information, and animal health and welfare, in addition to the CEC and the obligations it contains.

Applications shall require details of relevant competency, skills or qualifications by personnel who carry out animal manipulations. In assessing the suitability of proposed animal manipulations and care, committees shall refer to the recommendations of NAEAC in its" Good Practice Guide for the Use of Animals in Research, Testing and Teaching" and to the relevant "Codes of Welfare" issued under section 75 of the Animal Welfare Act 1999.

##### Outcomes for Consideration

Applications are reviewed by AEC members before a scheduled meeting. The approval status is decided by consensus at the meeting using the criteria for approval above. Approval may include specific time frames, reporting, monitoring or other conditions as decided by the AEC.

If consensus cannot be reached or at the committee's request, additional conditions and or requests may be made to the applicant before an Application is APPROVED. The Applicant will then be given an opportunity to address the points of difference and RESUBMIT the Application in order to allow consensus to be reached.

Should minor clarification be required, a project may be given CONDITIONAL approval. In this situation, the Applicant must not start any work described in the Application until the Chairperson (and/or a sub­ committee) as delegated by the AEC, is satisfied that the conditions have been met and given full approval.

If specific, more complex, questions have been asked, the Applicant must reply to these. The reply is considered by the AEC (and/or a sub-committee), and if all questions are answered or explained satisfactorily, approval may be given and ratified at the next meeting. If necessary, this process is repeated until satisfactory answers are received. All correspondence regarding a specific Animal Ethics Application must be done via the AED directly or in the case of correspondence received as an email by the Chair, secretary or any AEC member, be entered unchanged into the AED.

If an Application requires the extensive addition of information or editing the status is changed to RESUBMIT. An email is sent to the Applicant outlining the requirements for approval. The Application will be reconsidered at either the next AEC meeting unless a sub-committee has been delegated to approve the Application. In this event, the Approval will be ratified at the next full AEC meeting.

If an urgent Application is APPROVED by a sub-committee, that approval is considered for ratification at the next full meeting of the committee.

If an Application is REJECTED, the Applicant must not start any work described in the Application.

All decisions made by the committee are entered on the relevant form in the AED which automatically and immediately informs all the personnel named on an application the status of the decision and what action is required if necessary.

##### Maximum Approval Period

In general, approval for manipulations of animals will be for one year unless a specific request is made, and justified, for longer approval. For projects of longer duration, new applications for an extension of this period must be made in sufficient time to permit decisions to be made before the original approval expire s.

No approval for specific manipulations of animals will be for more than three years.

##### Power to Suspend, Revoke and Vary Approvals

If during a project the AEC has concerns that any of the conditions of approval are not being met, the project may be SUSPENDED. In this situation, all manipulations must cease until the concerns of the committee have been resolved and the status changed back to APPROVED.

If serious animal welfare issues arise during a project, the AEC has the power to immediately terminate the project and stop all manipulations.

##### Changes to Approved Applications

Modifications to approved applications are subject to the same procedure as a new application.

Urgent modifications can be approved by a subcommittee of three, including at one external member and are ratified by the full AEC at the next meeting.

A minor modification to a protocol (for example adding a new staff member to a project due to staff turnover or a simple change of end date where manipulations are unaffected), may be approved by the Chairman or the AWO provided it meets all other committee requirements. This approval must be ratified at the next full AEC meeting.

##### Protection of AEC Members

No member of an AEC is personally liable for any act done or omitted by the member or the committee in good faith in the course of the operations of the committee.

1. **Responsibilities under AEC Approved Projects**

##### Compliance

* + 1. Ensure that any research, teaching or testing involving the manipulation of any live animal is carried out in accordance with this code.

All staff of AgResearch and all organisations parented to an AgResearch AEC are responsible for

familiarising themselves with this CEC, and with all other policies and procedures that are consistent with the use of animals for research testing and teaching. By signing the parenting agreement, organisations agree to act in accordance with this CEC.

* + 1. Comply with all Acts of Parliament, regulations or bylaws pertaining to the care and treatment of animals.

All Acts of Parliament, regulations or by-laws pertaining to the obtaining, holding possession, care and treatment of animals are to be complied with. AEC approval does not override any other obligations that individuals have under legislation or regulation other than the Animal Welfare Act. Animal Ethics Approval is limited to approving the use of animals in Research, Testing and Teaching

under the Animal Welfare Act 1999 (Part 6).

Applicants and personnel are responsible for compliance with all other legislation and regulations. Specific questions in the application form are asked to ensure that compliance requirements outside the Animal Welfare Act have been met. These questions are included so that the AEC can be confident that any other potential compliance issues have been addressed.

##### Appropriate Qualifications

All personnel who are responsible for animal manipulations must be trained and declared competent by a trainer approved by the AEC. Usually, this is the AWO but can be by another suitably qualified person as approved by the AWO.

Training is species and manipulation specific - an operator approved for a particular manipulation for one species is not automatically approved to undertake either an essentially similar manipulation in another species or another manipulation in the same species.

All training must be approved by the appropriate AEC before it is started.

A register of trained personnel is kept on the AED. The register includes competency and SOP and expiry date if relevant, and is accessible by all users.

##### Transportation of Animals

Animals must be transported in accordance with relevant legislation, relevant codes of welfare or NAEAC's Good Practice guide for the Use of Animals in Research, Testing and Teaching.

Housing of Animals

Animal facilities and practices (design, hygiene and management) shall be managed in accordance with good practice and scientific knowledge (as recommended by NAEAC in its "Good Practice Guide for the use of Animals in Research, Testing and Teaching" and to the relevant "Codes of Welfare" issued under section 75 of the Animal Welfare Act 1999). In addition, there may be AEC-approved SOPs in place regarding specific situations of housing and care.

##### Sick and Injured Animals

All applications have veterinary oversight, whether it is the AWO or external veterinarian or veterinary practice named on the application. If the health or well-being of an animal or animals is compromised during a project, veterinary advice must be sought and implemented.

Staff who are not registered as veterinarians may from time to time administer drugs and veterinary medicines to animals under veterinary and AEC approval according to AgResearch's Internal Operating Plan for Veterinary and Human Medicines. The AED is the repository for Internal Drug Administration Orders, which are issued under the AgResearch Institutional Operating Plan.

##### Standard Operating Procedures

SOPs relating to the care and use of animals are created by the applicant in conjunction with the AWO and must be approved by the AEC. After approval they are loaded into the AED and at this point can be referenced in an application and accessed by the applicant or organisation.

##### Adverse Events

From time-to-time adverse events may occur that were not expected when the project started. Causes may be as diverse as adverse weather events to unpredicted side effects of a treatment or manipulation or a natural disaster. Any adverse event and effects on the study animals must be reported to the AEC and an adverse event form completed and submitted as soon as possible.

Where an adverse event occurs, it is the responsibility of the person(s) handling the animals (in consultation with a Veterinarian if necessary) to establish and administer appropriate treatments or management practices.

In all cases where an adverse event occurs, it is the applicant's responsibility to establish and implement a management plan as required, to minimise the effects on animals.

##### Grading

The applicant assigns an impact grading for animal manipulations proposed in an application. The AEC may adjust the grading at the time of approval, after the work has started, or when the actual impact on the animals has been evaluated via the monitoring program and reported on via a statistics form. In assigning an impact grading the AEC will use the MPI Animal Use Statistics guide for reference.

##### Euthanasia for tissue collection/dissection

Euthanasia of animals for tissue collection/dissection requires a full application to the AEC documenting the justification and euthanasia method. The American Veterinary Medical Association (AVMA) Guidelines for the Euthanasia of Animals will be used as a reference for appropriate methods of euthanasia.

# Animal Facilities

##### Management of Animal Facilities

If animals must be housed, the housing must be managed in accordance with the NAEAC publication Good Practice Guide for the Use of Animals in Research, Testing and Teaching. Housing facilities must ensure that the general health of animals is safeguarded, and that undue stress is avoided. Sufficient space, according to the species, must be allocated for each animal. Environmental needs such as temperature, humidity, and ventilation, lighting and social interaction must also be consistent with the needs of the species concerned. Animals must receive a supply of foodstuffs appropriate to their requirements and of the quality and quantity adequate to preserve their health, with free access to water, unless the object of the experiment is to study the effects of variation in these nutritional requirements.

Standards shall be maintained by the provision of in-housetraining and access to external training for animal care staff. Animal husbandry and care shall be provided at each facility seven days a week. All caged indoor-housed animals shall be visually inspected by an approved operator at least once each day, seven days a week.

It is the responsibility of the appropriate AgResearch Facility Manager and the applicant to ensure that the person caring for the day to day needs of the animals is properly trained, and has access to a registered veterinarian should the need arise.

In all other cases approved SOPs must be followed.

The facility must have an approved plan for management of animals in emergencies.

##### Development of SOPs

SOPs are developed by applicants for all animal manipulations that are complex or will be repeated. Parented organisations may use their own template or the AgResearch one, but all SOPs must be approved by an AWO before they are submitted to the AEC for consideration. SOPs approved by the AEC are loaded into the database and linked to an application.

A review of SOPs will be undertaken by the AWO annually to determine those that need to be updated or retired.

##### Monitoring Animal Facilities

The AEC arranges visits to inspect animals and facilities. These visits may be undertaken with minimal notice or by prior arrangement. An AEC will undertake a minimum of one visit per year to inspect each AgResearch animal facility. All facilities are regularly visited by an AWO as part of their duties and these visits are reported back to the AEC. All AgResearch farms are regularly audited to ensure that they comply with minimum standards for both animals and personnel. Each AEC will receive copies of these audit reports appropriate to sites under their jurisdiction and will accept these as independent monitoring reports.

Facilities of parented organisations that have an approved, current project will be monitored at least once per year.

Non-scheduled visits by the AEC may also be carried out at the discretion of the AEC.

1. **Monitoring**

##### Powers of the AEC

The AEC, its members, and the AWO have the authority to inspect animals, their accommodation or experimental records at any time in order to satisfy themselves that procedures are being properly carried out as approved. While the applicant is usually notified of such visits in advance, this is not a requirement.

##### Frequency of Monitoring

The AEC Application form requires the applicant to specify how animals will be monitored during the project. The monitoring details required include what is to be monito red and the frequency of monitoring. These quest ions are mandatory, and an application cannot be submitted unless answered. The AEC or AWO will monitor at least 10% of AgResearch and parented organisation approvals graded A or B. All monitoring visits will be recorded on the meeting agenda and in the AED. When animal manipulations are undertaken at a parented organisation or remote site where access is difficult, monit oring of animals is the responsibility of the staff in liaison with the veterinarian nominated as supervising the project. In these situations, the AEC may put additional reporting requirements (e.g., interim Reports) on the applicant, and request monitoring visits are carried out by an independent veterinarian approved by the AEC, as described below.

The AWO will formally report on activities at each AEC meeting to cover all relevant interactions with science personnel.

When any monitoring visit is made a M ONITOR report attached to the Application being viewed is placed on the AED. This report may be made by the AWO, committee member concerned or by the chairman or secretary as a proxy for the member.

Visits by the AEC or AWO may be recorded on the application as a monitoring note.

All monitor reports and notes will be included as agenda items for the AEC meeting. Upon receipt of any additional information, the AEC may rescind its approval for a project, or request the applicant attend a committee meeting to explain the manipulation in more detail and answer questions.

##### Monitoring of Manipulations Grade C-E

The AEC or AWO will monitor 50% of AgResearch and parented organisation approvals graded C and all projects grade D or E. All monitoring visits will be recorded on the meeting agenda and in the AED.

##### Monitoring by Nominated Veterinarians

To assist the AEC to meet the required monitoring frequency and where the timing or geographic location make monitoring difficult, the AEC may contract an independent veterinarian to perform the monitoring visit. As representatives of the AEC, contracted personnel have the same authority as AEC members.

The monitoring veterinarian will be supplied with the relevant application, SOP 's, other relevant documentation and a monitoring form. They will be either given AED access to comple te the monitoring report online or submit it to the committee for it to be loaded into the AED.

* 1. **End of Approval Reporting**

To help the AEC fulfil its monitoring obligations under the Act, and complete the assessment of animal use justification, every project must also have two reports filed on completion. These reports monitor the animal welfare (AE ReportA) and the science outcomes of every project (AE ReportB) and must be formally accepted by the AEC before a project is closed.

* 1. **End of Approval Grading**

At the completion of a project, the applicant completes an Animal Use Statistics form which contains an assessment of the final impact grading of the project. The AEC considers these Statistics alongside the AE Report A (which documents the outcomes of the project on animal welfare) and any monitoring visits, reports or applicant reports lodged in the AED during the project.

**End of Approval Statistics**

At the completion of a project, the applicant completes an Animal Use Statistics form in the AED which contains an assessment of the final number and details of animals manipulated and the impact grading of these manipulations. Applicants complete a separate form for each species and a separate form for grading categories A-C and for categories D and E. Statistics forms are submitted to the AEC within six weeks of completion of a project and are formally accepted at an AEC meeting.

## Arrangements for External Parties to Use the CEC and AEC

1. **.1. Arrangements are Permitted**

Parenting arrangements with outside organisations shall be considered by AEC's on a case by case basis. An AEC may accept such parenting arrangements only if it believes it has the appropriate expertise to review applications and monitor the approvals that will be submitted by the parented company.

Before acceptance of a parenting agreement, the parented company, through its nominated representative, must accept all conditions for monitoring animal manipulations as set out by the committee.

All parenting arrangements shall be notified in writing to the Animal Health and Welfare Directorate of the Ministry for Primary Industries before the lodging of an application to the committee.

Parented organisations shall comply with this code and sign a parenting arrangement before submission of an application. This arrangement shall include cost recovery at an agreed rate that applies in the absence of a collaborative research agreement between AgResearch and the parented organisation. Cost recovery may be implemented to assist the AEC to meet its monitoring requirements and may include any costs associated with monitoring.

External applicants shall be required to complete all the same Application, Modification and Reporting requirements as AgResearch employees.

## Complaints Procedures

##### Reporting of Complaints

Any person employed by AgResearch, parented organisation or who is a member of an AgResearch AEC, can bring to the notice of an AEC any instance where they believe that the welfare of animals (whether or not they are under being managed under a current AEC approval) is compromised. This communication can be made directly to the Chairperson or AWO, or via a specific complaint form on the AED. Submission of a complaint form automatically notifies the Chairperson and the Secretary, via electronic messaging, that a complaint has been lodged.

The committee has the power to direct that any procedure, whether approved or not, be stopped or modified on ethical grounds. The committee can also direct that the animals be properly cared for or euthanased.

All complaints will be formally reviewed by the AEC, recorded in the AED and action taken in line with the severity of the issue. Disciplinary action for non-compliance with the code shall be in accordance with AgResearch employment (Corrective Action) policy or, in the case of external personnel, with the policy of the organisation concerned. Serious non-compliances with the Act (e.g., cases of animal cruelty) will be referred to the appropriate regulatory body.

##### Procedural Complaints

Procedural complaints from any member of the AEC will be initially investigated by the Chairperson and/or a subcommittee of the AEC. If the complaint is substantiated, then Director Research Operations shall be notified, and a formal investigation initiated according to the guidelines of the AgResearch Corrective Action Policy.

A guide to the complaints procedures is available for AEC members, applicants, AgResearch employees in the AgResearch Animal Ethics Quality Assurance Management Protocol).

##### Animal Welfare Complaints

9.3.1 Procedures by which animal welfare complaints made by members of the public shall be managed.

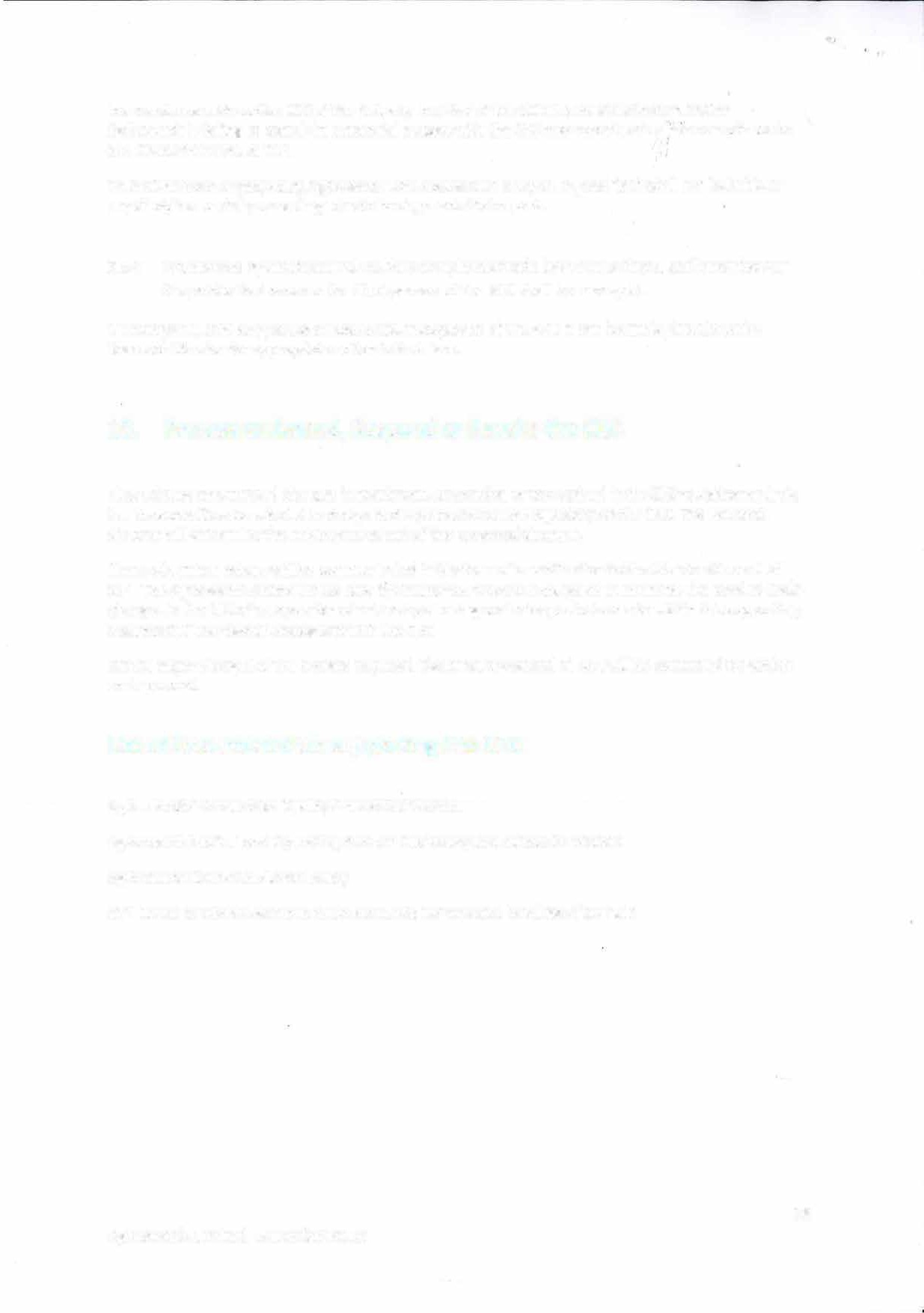
Complaints made by members of the public shall be reported to the AEC Chairperson who may correspond directly with those concerned to inform them of the AgResearch's position and/or advise them that further correspondence may be addressed to the Ministry of Primary Industries.

9 . 3.2 Procedures by which animal welfare complaints made by employees shall be mana ged.

If an AgResearch employee wishes to make a complaint, the complaint will be directed to the AEC Chairperson (unless the complainant requests otherwise) who will decide what action is required.

If the complaint is substantiated, then the Director Research Operations shall be notified and a formal investigation initiated in accordance with the AgResearch Corrective Action Policy.

An AgResearch staff member who makes such a report in good faith shall not be liable to any disciplinary or civil proceedings because of having made that report.

* + 1. Procedures by which animal welfare complaints made by AEC members shall be managed. In accordance with section 103 of the Act, any member of an AEC who believes that an AEC or AgResearch is failing to comply in a material respect with the CEC may report such a ·non-compliance to the Director-General of MPI.

An AEC member employed by AgResearch who makes such a report in good faith shall not be liable to any discipline or civil proceedings due to having made that report.

* + 1. Procedures by which animal welfare complaints made by AEC members, staff members or the public that concern the Chairperson of the AEC shall be managed.

If a complaint from any person concerns the Chairperson of the AEC, it can be made directly to Director Research Operations for appropriate action to be taken.

1. **Process to Amend, Suspend or Revoke the CEC**

The AEC may recommend changes (amendment, suspension or revocation) in the CEC to AgResearch via the Director Research Operations who is the designated representative and signatory on the CEC. The Director Research Operations will determine the nature and extent of the proposed changes.

Those of a minor nature will be communicated in the form of a notification to the Director-General of MPI. The AgResearch Animal Ethics Quality Assurance Protocol is designed to minimise the need to make changes to the CEC of an operational nature by allowing such changes to be made within this supporting document if they remain consistent with the CEC.

Where major changes of the CEC are required, the Director-General of MPI will be contacted for advice and approval.

**List of Documentation supporting this CEC**

AgResearch Animal Ethics Quality Assurance Protocol

AgResearch Institutional Operating Plan for Veterinary and Human Medicines AgResearch Corrective Action Policy.

MPI Codes of Welfare and minimum standards for care and handling of animals