

University of Canterbury

**CODE OF ETHICAL CONDUCT
For the Use of
Animals for Research, Testing and Teaching**

v.3, November 2022

22 November 2022 to 21 November 2027

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Treaty of Waitangi Obligations and Principles

The University is legally bound to acknowledge the principles of the Treaty of Waitangi in the performance of its functions and the exercise of its powers (*S 281(1)(b), Education and Training Act 2020 (New Zealand Legislation website)*).

It is the responsibility of the researcher to be aware of when they should conduct consultation with Māori regarding their research. If in doubt the researcher should speak with their faculty Kaiārahi (Māori advisor), or Māori Research Kaiārahi in the Research & Innovation team.

Consultation with Māori should be discussed through the Māori Research Kaiārahi. More information is available via *Māori Research (University Research and Innovation intranet) (Staff only)*.

All researchers, whether their research is health related or not, are referred to the *Health Research Council of New Zealand's Guidelines for Researchers on Health Research Involving Māori 2010 (Health Research Council of New Zealand website)*.

1. Introduction/Background on the Activities of the Organisation

1.1. Organisational Activities

This Code of Ethical Conduct (CEC) is designed to comply with all the requirements of the Animal Welfare Act 1999 (the Act) so that animal species specified in the Act may be used by any member of the University of Canterbury in research, testing and teaching once an application is approved by the Animal Ethics Committee (AEC). Work may be carried out on the premises of the University of Canterbury or in the field. Manipulations requiring approval are any that are not part of the normal care of laboratory animals and those which might affect the behaviour, health, and welfare of animals. Approvals for work given by the University of Canterbury do not override other requirements, such as permissions required by the Department of Conservation or local iwi for work on protected, indigenous species. The University of Canterbury will also hold colonies of animals such as rats, pigeons, frogs, fish and various species of crabs for use in research, testing and teaching. The purpose of this CEC is to ensure that members of the University of Canterbury treat all animals in their control with due care and consideration for their welfare, and to use animals in research, testing, and teaching in such a way as to cause them minimal stress and suffering.

1.2. Research, Testing and Teaching (RTT) and the Three Rs

The University of Canterbury is committed to the concept of the 3 Rs: reduction, replacement and refinement. Careful planning of experiments and manipulations is required to ensure that minimum numbers of animals are used in line with the objectives of the experiment, that replacements to animals by non-sentient or non-living alternatives are sought when appropriate, and that all approved techniques are designed to minimise harm to animals.

1.3. Responsible Persons

Institutional responsibility resides with the Deputy Vice-Chancellor (Research) who is the code holder. The Deputy Vice-Chancellor (Research) will appoint a member of the AEC to act as Chair of

the Animal Ethics Committee (AEC) upon approval and endorsement of the AEC. A Deputy Chair of the AEC will be appointed to act in the absence of the Chair. The administration of the AEC is the responsibility of the Deputy Vice-Chancellor (Research) within the Vice-Chancellor's Office. The Deputy Vice-Chancellor's Office carries out the day-to-day management of AEC matters through the appointment of an AEC secretary.

1.4. Persons/Organisations under the CEC

The CEC applies to members of the University of Canterbury. For the purposes of the CEC this includes any academic, researcher, technician or employee of the University, whether paid or unpaid and/or any student (including both undergraduate and postgraduate students) enrolled at the University of Canterbury. It also includes any visitors and Adjunct appointees from other national or international institutions using University of Canterbury facilities for animal research, testing, or teaching. The University of Canterbury does not allow parenting agreements.

2. Establishment, Functions, Powers and Membership of the Animal Ethics Committee

2.1. Functions, duties and powers of the Committee

The Animal Ethics Committee (AEC) has developed a Code of Ethical Conduct that complies with requirements laid down by the Animal Welfare Act 1999, including sections 80 and 100 of the Act, which sets out the purposes of the regulatory system for the use of animals in science, the promotion of the three Rs, and the criteria for decision-making. No research, testing, or teaching, on or off campus, using live animals as specified in the Animal Welfare Act 1999 may be carried out by any staff or student member of the University of Canterbury unless an application for such use has been approved by the AEC. In accordance with the Act, the AEC can approve projects to regulate the use of animals in teaching, testing, and research. The AEC will be responsible for preparation of the application forms required for the approval process, and ensure that all minutes of meetings, decisions and operations are recorded, stored and maintained in a satisfactory manner. The AEC will also document and monitor the activities of research, testing, and teaching personnel in relation to conditions of project approvals and care of animals. The AEC has the power to direct that any procedure, whether approved or not, be stopped or modified on ethical grounds. The AEC can also direct that animals be properly cared for, and if appropriate, euthanised.

2.2. Membership of the AEC

The AEC will consist of a minimum of four statutory members plus up to 3 organisational and additional members, as described in section 2.6, appointed by the code holder for a period of 5 years.

2.3. Statutory members

- The code holder or delegate appointed by the code holder; the delegate must be a senior representative of the University of Canterbury and qualified to evaluate the scientific value of the applications submitted to the AEC;
- A veterinarian nominated by the New Zealand Veterinary Association (NZVA) who is not employed by or associated with the University of Canterbury;
- A person nominated by an approved animal welfare organisation (the Royal New Zealand Society for the Prevention of Cruelty to Animals (RNZSPCA)), who is not employed by or

associated with the University of Canterbury, or involved in the use of animals for research, testing or teaching;

- A person nominated by the Canterbury Regional Council, not employed by or associated with the University of Canterbury, or associated with the scientific community or an animal welfare agency.

2.4. Organisational members

Organisational members must be full-time academic employees of the University of Canterbury. All academics members of the AEC are required to have a PhD, experience in the use of animals in research and teaching, and qualified to provide critical evaluation of applications. The Chair and Deputy Chair can be academics appointed by the Deputy Vice-Chancellor (Research).

2.5. External members

External members appointed under part 2.2 will be remunerated by an annual honorarium set by the Deputy Vice-Chancellor (Research). Academic members do not receive remuneration.

2.6. Additional members

The AEC shall have the power to co-opt additional in attendance members on a temporary basis, where it requires that person's specialist knowledge. Additional members will be appointed by the Deputy Vice-Chancellor (Research) in consultation with the Chair. Additional members may be remunerated if required for their services.

2.7. Appointment Procedures

2.7.1 Members of the AEC are appointed by the Deputy Vice-Chancellor (Research). Appointments of academic members are made in consultation with the respective Heads of the School of Psychology, Speech and Hearing, and School of Biological Sciences. In the case of the 3 external members of the AEC, any appointment or reappointment procedure requires a nomination from the relevant nominating body.

2.7.2 The Chair and Deputy Chair are appointed by the Deputy Vice-Chancellor (Research).

2.7.3 Renewal of appointments is at the discretion of the Deputy Vice-Chancellor (Research).

2.8. Term of appointment

A member of the AEC will hold office for a term of 5 years and may be reappointed for further 5-year terms. No member will be disqualified from the AEC by having held previous office. Attention will be paid to maintaining institutional continuity.

2.9. Induction and Training of New Members

It is the responsibility of the Chair to ensure all members of the AEC are fully prepared for their role on the Committee. New members meet with the Chair prior to beginning duties and are given an orientation session on the functions and procedures of the AEC, and the roles performed by the members of the Committee. An information package, containing copies of the CEC, information on the Animal Welfare Act, and an induction pack from NAEAC are provided. All AEC members are also referred to appropriate literature, including relevant NAEAC, NAWAC and ANZCCART publications,

and provided with access to University libraries. Members are encouraged and supported to attend conferences, workshops, meetings, etc. The Chair can also facilitate contact of AEC members with outside experts if requested.

2.10. Vacancies

The AEC secretary maintains a list of appointments and dates at which each AEC member's position is completed, and notifies AEC Chair and Deputy Vice-Chancellor (Research) of upcoming vacancies. The Deputy Vice-Chancellor (Research) then appoints a new member to fill the vacancy (or reappoints the current member for an additional 5 year period). Prolonged or unexpected absences (comprising more than 2 consecutive meetings) are managed by the Deputy Vice-Chancellor (Research); this may require the appointment of a replacement member.

3 AEC Processes

3.1. AEC meetings

AEC meetings will be held to assess the full scope of its activities, including discussion and decisions on all applications (including research and teaching applications, and amendments to previously approved applications), review and discussion of end of study reports, discussion of any non-compliances and adverse events, and discussion of any other documentation relevant to the functions of the AEC (e.g., related approvals from ACVM, Department of Conservation, etc.). Face to face meetings will provide the opportunity for members to present their views and to hear the views of other members on all applications, reports and documents submitted to the AEC. The AEC will provide applicants with feedback on their application and/or end of study report. The response of the applicants will in turn be assessed by the AEC at its meetings. Discussion of reports of non-compliances and adverse events will be used to assess the situation and prepare a response, which may include rescinding previously granted approvals. The Chair will lead the meeting, and ensure that each member is provided with ample opportunity to present their views and to respond to the views of other members. Decisions will be made by consensus. Minutes will be taken, distributed to members, and presented at the next meeting. A quorum is required to make any decision. AEC meetings will also be used to conduct site visits, meet with applicants at the place of research, and to monitor project approvals.

3.2. Frequency of Meetings

- The AEC will meet at least four times each year, but more frequently if required or if any member of the AEC requests a meeting to discuss any issue of concern.
- Scheduled meetings are held on the third Wednesday of the month, and AEC members will be notified by email of any change in the date, time and location of the next meeting at least two weeks in advance. Any applications and documents to be discussed will be provided to members at least two weeks before the meeting. The date and time of any rescheduled meeting will be selected to ensure a quorum is reached.

3.3. Timing for Circulation of Agenda Items

- The AEC secretary organises the meeting by booking a venue, sending details of date, time and location of meeting venue, and distributing all required documents to members prior to the meeting.

- The agenda is set by the Chair and distributed to members by the AEC secretary; the secretary also sends copies of all AEC applications for consideration and all other appropriate information.
- Meeting documents are distributed by email and, if requested, by hard copy through the post. Applications are sent to members as received by the AEC Secretary.
- Meeting documents, including agenda, will be available to AEC members at least two weeks before the meeting.
- The AEC secretary records meetings and keeps minutes. These minutes are checked by the Chair before they are distributed to AEC members. Minutes of the previous meeting are presented at the next meeting, and corrections made if required.

3.4. Quorum

A quorum follows the 50% +1 rule of quorum requirements as reflected in the NAEAC Good Practice Guide. This must include at least two statutory external members. One of the quorum must be either the Chair or Deputy Chair.

3.5. Decision Process

All decisions will be by consensus. In reaching their decisions the AEC will employ the "harm/benefit" analysis outlined in section 4.13 in the Good Practice Guide for the use of Animals in Research, Testing and Teaching (Ministry for Primary Industries) and in Part 6 of the Animal Welfare Act 1999. If a consensus cannot be reached, even if additional information from the applicant has been obtained, then the application will be rejected.

3.6. Effective Input of Committee Members

Prior to a meeting, external members are provided with all information pertaining to an application. External members are strongly encouraged to ask for further information if they do not understand any part of an application. During a meeting, each external member is asked by the Chair to provide their view of the application, and given the opportunity to ask other AEC members to explain their assessment. The Chair will ensure that every external member is provided with the opportunity to present their views and to engage in discussion with the other members of the AEC. The Chair will endeavour to provide any further information requested by external members. At least two external statutory members are required for reviewing any new applications.

3.7. Establishment and Membership of Subcommittees

Subcommittees will be established only in exceptional circumstances, such as to investigate or gather further information on breaches of AEC approvals or for off-campus inspections in which the attendance of a quorum would be difficult. Subcommittee membership would be assigned through discussion at a AEC meeting, but would include as a minimum either the Chair or Deputy Chair and at least two statutory external members. The subcommittee will then prepare a written report for distribution to the AEC, and the findings of the subcommittee and their report discussed at the next scheduled AEC meeting. Subcommittees do not review new applications, as these are dealt with only by input from all members of AEC.

3.8. Conflict of Interest

A member of the AEC that is also an applicant is deemed to have a conflict of interest and must abstain from any decision on approval of his/her application, though at the discretion of the AEC,

he/she may participate in discussions of the application. An AEC member who is a collaborator or has a close relationship with an applicant may also be deemed to have a conflict of interest and must abstain from decision-making on approval of this application, though again may participate in discussions of the application at the discretion of the AEC. Individuals with conflicts of interest are required to leave the meeting before the committee makes their final decision. The AEC will follow the University of Canterbury policy document (Conflict of Interest Policy, Principles and Guidelines) for resolving any conflicts of interest.

3.9. Confidentiality

All applications and correspondence are treated as confidential. Records are kept secure in the Deputy Vice-Chancellor's (Research) office. Requests by members of the public are subject to the Official Information Act and referred to the Vice-Chancellor's Office and Registrar. Information requested shall be released under the Act but confidentiality maintained on the identity and contact details of applicants. Where commercially sensitive information is involved in applications, the AEC may request further details in confidence so that the review criteria set out in the Act can be met and the committee can reach a decision. Commercially sensitive information given in confidence may be released under the Official Information Act after consultation with the applicant.

3.10. Use of Tele/Video Conferencing

Video conferencing will be used when in-person meetings are restricted by law and/or to ensure a quorum is reached when an AEC member is unable to attend in person. In-person meetings are the preferred mode of meetings, but video conferencing will be used when circumstances prevent face to face meetings. Teleconferencing can only be used in exceptional circumstances when a member is unable to attend in person or video conferencing is not possible, in order to reach a quorum. However, teleconferencing would be inappropriate for the entire committee. Use of teleconferencing will be recorded in meeting minutes to document the discussion and decisions made under such circumstances.

3.11. Consideration between Meetings

Between meetings, AEC members can send written comments on applications to the Chair. These are collated and filed by the AEC secretary. Comments on applications with only A and B gradings can be sent to applicant by the Chair prior to the next face to face meeting. Any feedback and revised applications received from the applicants will then be circulated to AEC members, and if a consensus can be reached, upon the receipt of feedback from all the AEC members the application can be approved. If a consensus is not reached, any decision is deferred until the next scheduled meeting. Applications with A and B gradings approved by correspondence among AEC members are added to the agenda and approval confirmed at the next face to face meeting. Applications with C and higher rankings are only approved after discussion at a face to face meeting, although AEC members are encouraged to send written comments beforehand so these can be considered at the meeting. Urgent applications are dealt with by encouraging AEC members to consider applications in a timely fashion. Applications received with C or higher rankings trigger a meeting to be held within the next month so that they can be discussed in person.

3.12. Public Presence at Meetings

Generally AEC meetings will not be open to the public. The Deputy Vice-Chancellor (Research) or their nominee will advise on requests from the public to attend a meeting and on any possible

requirements under the Official Information Act 1982 in consultation with the Chair and any other persons involved.

3.13. Applicant Presence at Meetings

The applicant's presence at AEC meetings is only required in situations in which it is requested by AEC members to enable them to directly ask questions or seek further information. Requests by applicants to attend a meeting in which their application is discussed are dealt with on a case by case basis, and approved by the Chair if it will help the committee members obtain all the information they require to make a decision. The applicant cannot attend those parts of the meeting when other applications are discussed, or where a decision is made on the applicant's submission.

3.14. Secretarial Support

University of Canterbury will provide secretarial assistance to the AEC through the support of the Deputy Vice-Chancellor (Research). The secretarial support is expected to maintain files on all submissions to the AEC, distribute and collate correspondence between AEC members, record and distribute minutes from AEC meetings, arrange venues for meetings, and provide any other secretarial assistance as may be needed from time to time. The secretarial support is expected to be competent in computer use and filing, and to maintain confidentiality of files.

3.15. Record Keeping and Information Management

AEC documentation shall be maintained in order to meet the requirements of the Act. All minutes of AEC meetings, its decisions, operations and records are stored and maintained by the AEC secretary and stored on computer and hard copy in the Deputy Vice-Chancellor's Office (Research). Access is only with approval of the Chair or Deputy Vice-Chancellor (Research). All information will be stored securely for a period not less than 10 years. At the end of this period, computer files will be deleted and paper copies destroyed by shredding and secure disposal.

3.16. Reporting of Animal Use Statistics to MPI

Applicants are obliged to keep detailed records of the species, numbers, and sources of animals used, the approved manipulations to which they were exposed, and the animal's subsequent fate, including whether the animal died, was euthanised, released, or was retained. This information shall be gathered by the AEC Chair starting in December each year, with the assistance of AEC secretary, and will form the basis of the University of Canterbury's annual return to the Ministry for Primary Industries (MPI) by February 28 of the following year. Applicants who fail to provide information for annual returns will be barred from future approvals and subject to disciplinary action by the Vice-Chancellor's Office.

3.17. Protection of AEC Members

No member of the 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.

3.18. Process to amend the CEC

The AEC may recommend to the code holder that the CEC be amended. If the code is to be amended, the requirements of the Animal Welfare Act in terms of approval and notification, as may be the case, must still be met. MPI will be notified of minor amendments. MPI approval is required for

amendments that are not minor. Prior to any amendments, MPI will be contacted to confirm whether prior approval is required before amendments are implemented.

4 Consideration of Applications by the AEC

4.1. Criteria for Consideration

All applications must be submitted on the most current application forms provided by the AEC. The key principle underlying the application and assessment process is that the benefits that are likely to be derived from using animals in research or teaching must be considered by the AEC to outweigh any foreseeable harm to the animals. The AEC shall ensure that the proposal meets the criteria set out in section 100 of the Act, including whether the design of the study is such that the objectives of the experiment will be met, that the number of animals to be used is the minimum necessary to ensure a meaningful interpretation of the findings, whether suitably qualified persons will be engaged in supervising and undertaking the research, testing, or teaching, and whether the work involves duplication of research conducted previously. The AEC will consider whether the applicant has adequately addressed the 3 Rs, and whether throughout the course of the approval adequate measures will be taken to ensure the general health and welfare of the animals before, during, and after any manipulation.

4.1.2. Duplication of experiments

AEC shall assess whether proposed applications involve replication, repetition, or duplication as defined in the Good Practice Guide for the use of Animals in Research, Testing and Teaching. Research proposing duplication shall not be approved unless applicants can detail why previous studies were flawed. Applicants need to provide evidence of their efforts to avoid duplication of past research.

4.1.3. Commitment to promote and publish findings

Applicants must signify and detail a commitment to ensure the findings will be adequately used, promoted and/or published. Applications from graduate students need to state findings will be incorporated into a thesis, followed by a commitment to pursue wider promotion and/or publication.

4.2. Impact Grading

The AEC uses the MPI impact grades scale in assessing the severity of each manipulation. The applicants are required to record the grade of each manipulation. Where an animal is used in more than one manipulation, the cumulative impact grade of the proposed combination of protocols is required. For reference, the MPI grades scale and lists of examples are appended to all application forms used by the University of Canterbury AEC. Upon receipt of applications AEC members assess the applicant's assignment of grades and any discrepancy is communicated to the applicants who are asked to respond. For situations in which there is disagreement among AEC members in grading, a decision is reached at face-to-face meetings. Applicants are required to change impact gradings if they differ from the decision of the AEC.

4.3. Outcomes after Consideration

After consideration by the AEC, applications will be assigned one of three outcomes: (1) application is approved, (2) consideration of approval is deferred until questions raised by the AEC are adequately addressed by the applicant, and (3) the application is not approved. In outcomes (2) and (3), the applicant is allowed to resubmit an application for reconsideration after revision of the application, and the receipt of a written response to the AEC's questions. The applicant is informed of the decision and any comments made by the AEC by email. All records of correspondence between the AEC and the applicant are retained on file by the AEC secretary. The final decision is confirmed by a formal letter from the Chair, informing the applicant of the decision as well as any conditions that might be attached to an approval.

4.4. Conditions of Approval

Approvals may depend on conditions set by the AEC. These conditions are reached through discussion at meetings and conveyed to applicant by a formal letter from the Chair. Conditions may include applicants providing interim reports to the AEC by a specific date or receiving reports from the University Vet on the outcome of conditional approvals before further aspects of the application are considered or approved by the AEC. If conditions are not met, AEC can withhold further approval.

4.5. Maximum Approval Period

The maximum approval period for an application is 3 years. If an applicant wishes to continue with the project beyond the 3 year period, a new application must be submitted. A new application can be approved for maximum of another 3 years, at which point a new application must be submitted.

4.6. Power to Suspend, Revoke and Vary Approvals

The AEC has the power to suspend or revoke approvals or set, vary or revoke conditions of project approval if the applicant is observed to be carrying out procedures not set out in the approved application and/or failing to adhere to specific operating procedures and/or failing to providing adequate care and veterinary support of animals (as applicable). In such circumstances the applicant, Head of Department/School and Deputy Vice-Chancellor's Office (Research) will be informed by the AEC Chair of the suspension or revoking of project approval and the reasons.

4.7. Changes to Approved Applications

After approval, any amendments to protocols will require submission of the form Application for Amendments to Approved Protocols along with the original Application for Use of Animals in Research (or Teaching) with the proposed amendments included. Amendment applications are circulated to all members of the AEC for feedback and approval. Amendments with new procedures that are graded C or higher will require automatic consideration at an in-person meeting called by the Chair. Minor amendments for new procedures graded A or B may be approved by the Chair between meetings but discussed retrospectively at the next meeting. Time extensions (if within 3 years from start of approval) and the addition of further personnel to the approval may be approved by the Chair and tabled retrospectively at the next meeting.

5 Responsibilities under AEC Approved Applications

5.1 Compliance

5.1.1 Project Reporting

No research, testing, or teaching, on or off campus, using live animals as specified in the Animal Welfare Act 1999 may be carried out by any staff or student member of the University of Canterbury unless an application for such use has been approved by the AEC in accordance with this code. The ongoing responsibilities of applicants will be clearly outlined on the application form requiring their signature. In all applications, the applicants must sign to indicate that they have read the CEC. In the approval letter, applicants will be informed of the need to provide interim reports if this is a condition of approval, the need to report animal use figures to MPI at the end of the project, and to provide an end of project report to the AEC within 3 months of the end of the project.

5.1.2 Compliance Reporting

Procedures and policies will be put in place to ensure that animal facilities and practices comply with all Acts of Parliament, regulations or bylaws pertaining to the care and treatment of animals, and that these are in accordance with good practice and scientific knowledge, such as that provided in the NAEAC's Good Practice Guide for the Use of Animals in Research, Testing and Teaching. This will include proper maintenance of animals (provision of food and water, humane containment, adequate facilities for rest and sleep, opportunities to socialise with others of their species when appropriate) and training for those responsible for routine care (including husbandry, methods of restraint, recognising signs of ill health, and maintaining sanitary conditions). Approval holders are required to report non-compliances to the AEC, by directly contacting the secretary or Chair of the AEC at the first practicable opportunity. After non-compliances are reported, these will be investigated by the AEC as outlined in section 3.7. Reports stemming from the investigation will be presented and discussed at the next scheduled AEC meeting. Managers of approval holders will also be informed of the non-compliance. Approvals may be suspended or withdrawn until such stage that the issues that led to non-compliance are remedied and the AEC can be assured that a similar situation will not arise in the future.

5.1.3 Compliance with other AECS

Where individuals from more than one organisation are involved in research, testing, or teaching, the AEC linked to the organisation that is the primary host in New Zealand for the project should be used to assess an application. If the primary host is not the University of Canterbury, the University of Canterbury AEC must be advised of the names, affiliations and suitability of all researchers involved in the project, and receive a copy of the approval letter from the host AEC. If a primary host cannot be identified, applicants may choose which AEC they use. However, all other AECs involved must receive a copy of all protocols, correspondence, and be provided with an opportunity to have a representative present at the AEC meeting where the protocol is discussed. In cases where the University of Canterbury is selected as the host organisation, the applicant must be a member of the University of Canterbury as described in section 1.4.

5.2. Appropriate Qualifications

Upon application for AEC approval, applicants are required to list their qualifications and experience in carrying out the procedures. Applicants without appropriate training must receive training and demonstrate to the AEC they have the appropriate qualifications. Training obtained as part of an application must be supervised by a qualified person. The University of Canterbury Veterinarian must confirm in writing to the AEC that an applicant has sufficient training in any surgical procedure before

approval can be granted. All applicants must also first pass a quiz based on material in the training manual before final approval to proceed with the project is granted. The manual is provided to all applicants upon receiving a request for the AEC to assess an application.

5.3. Sick and Injured Animals

Applicants must treat animals in their control with due care and consideration for their welfare, and use animals in such a way as to cause them minimal stress and suffering. Sick or injured animals (animals not at “BAR” [Bright, Alert and Responsive]) must be attended to immediately, including obtaining veterinary advice and/or care. Instances of sick and/or injured animals are to be reported to the AEC. The AEC can direct that sick or injured animals be properly cared for, and if appropriate, euthanised. Euthanasia is to be carried out following the American Veterinary Medical Association (AVMA) Guidelines for the Euthanasia of Animals. The method of euthanasia should be that appropriate for the species involved.

5.4. Standard Operating Procedures

Standard operating procedures (SOP) relating to the care and use of animals will be submitted to the AEC for consideration as they are developed. Comments from AEC members will be sent to the SOP authors and SOPs revised accordingly. SOPs will be approved by the AEC by consensus for a period of 3 years, at which point, they should be resubmitted for re-evaluation. Applicants can refer to AEC-approved SOPs in applications to detail procedures requiring approval. The approval of an SOP does not automatically confer approval in all applications to which it is referred.

5.5. Adverse Events

All people carrying out manipulations on animals are required to notify the Chair of the AEC immediately (or as soon as practicable) of any untoward or unexpected reaction or deaths during experimental procedures. In the absence of the Chair, the Deputy Chair shall act on behalf of the Chair. All AEC members are then notified in writing of the adverse effects and these are discussed at the next scheduled AEC meeting. The AEC has the authority to inspect animals, their accommodation, or experimental records at any time to monitor the use of animals and to ensure the welfare needs of the animal are met. If the adverse event requires a change to an approved manipulation, this must be communicated to the AEC as soon as possible. Approvals may be suspended until such a time that the issues that led to adverse event are remedied and the AEC can be assured that a similar situation will not arise in the future. This assurance may include further monitoring and a report to the AEC by the University Vet. The AEC may withdraw approval for manipulations causing adverse effects if these effects cannot be reduced or prevented. The AEC may request that applicants report outcomes of further manipulations to confirm adverse effects have been minimised.

5.6. Record Keeping

Approval holders are to maintain records of the source, care, use, health status, and mortality of animals. Records are maintained by the approval holder but must be made available to the AEC upon request. Failure to comply with routine husbandry procedures or to attend to the welfare of the species involved may lead to disciplinary action in accordance with University of Canterbury disciplinary and misconduct procedures and regulations where applicable.

5.7. Euthanasia for tissue collection/dissection

The euthanasia of animals is considered a manipulation and all animals euthanised for either collection of tissue or for dissection must first obtain approval from the AEC. Euthanasia is to be carried out following the American Veterinary Medical Association (AVMA) Guidelines for the Euthanasia of Animals. The method of euthanasia should be that appropriate for the species involved. Opportunistic collection of surplus tissue for another use from animals euthanised as part of an approved application do not require any additional AEC approval or modification of protocol.

5.8. Rehoming

Animals may be rehomed only after approval from the AEC and the respective Department/School Heads. Requests to rehome animals must include a submission on how the animal's welfare needs are to be met, including transport to the new home. Rehoming is not permitted for protected species, unless this is specified in the permits provided by the relevant authority (e.g. Department of Conservation, local iwi).

6 Animal Facilities

6.1. Management of Animal Facilities

6.1.1 Policies & Procedures

Management of animals in breeding and holding facilities shall be 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 in the relevant codes of welfare issued under section 75 in the Animal Welfare Act 1999. The overriding principle is that the animal facilities are managed to ensure and attend to the welfare of the animals. Animal facilities will be supervised by persons with appropriate animal care qualifications or experience with the species involved. The facility manager will ensure that adequate veterinary care is provided for all animals held for breeding and for experimental manipulation. The facility manager will also maintain a regular schedule of sanitation to ensure potential pathogens are kept to a minimum. Records will be maintained of the source, care, use, health status, and mortality of animals in the facility. Records maintained by the facility manager must be made available to the AEC upon request. Failure to comply with routine husbandry procedures or to attend to the welfare of the species involved may lead to disciplinary action in accordance with University of Canterbury disciplinary and misconduct procedures and regulations where applicable.

6.1.2 Emergency Management

Facility managers are required to have an adequate contingency plan to cover emergencies such as flooding, fire and earthquakes, and loss of power that could lead to breakdown in lighting, ventilation, and temperature control. This includes taking into account staff shortages that may arise in an emergency and should be part of emergency planning. The Facilities Management Department of the University of Canterbury is required to maintain emergency generators in the case of loss of power, including for maintaining mains power in animal facilities. It is acknowledged that in emergencies human life should not be put at risk and that managers of facilities must abide by and defer to Police, Fire, and Civil Defence Authorities.

6.2. Development of SOPs for facility management

Standard operating procedures (SOPs) developed by the University of Canterbury and relating to the care and use of animals in animal facilities will be submitted to the AEC for consideration. Comments from AEC members will be sent to the authors and SOPs revised accordingly. SOPs will be approved by the AEC by consensus for a period of 3 years, at which point they should be resubmitted for re-evaluation. Applicants can refer to AEC-approved SOPs in applications to detail the animal facilities requiring approval. The approval of an SOP does not automatically confer approval in all applications to which it is referred.

6.3. Transportation of Animals

Transportation of animals must be included as a procedure in applications to the AEC and given a grading score. In the application, the methods used to transport animals must be described, including the time required for transport, how the welfare of the animals will be monitored while in transport, and the procedures in place to deal with emergencies (e.g., transport break-down, provisions for euthanasia should an animal be injured during transport). Applicants must ensure that animals are transported under humane and hygienic conditions at all times. All transport of animals must also align with the Code of Welfare for the Transport of Animals within New Zealand, approved SOPs and AEC applications, and be in compliance with regulatory standards (e.g., PC2).

6.4. Handling and housing of Animals

Handling and housing of animals must be included in applications to the AEC. Applicants are required to describe where and the conditions under which the animals are to be held, the routine monitoring to be carried out (e.g., daily), and the care that animals will receive (frequency of feeding, etc.). Handling and housing shall be 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 in the Animal Welfare Act 1999 and Animal Welfare Amendment Act (No 2) 2015.

6.5. Monitoring Animal Facilities

The AEC will undertake site inspections of facilities at least twice a year. All facility visits are reported back to the AEC and tabled in the minutes. Operators of Animal Facilities will be notified in writing of the findings of the AEC inspections. Monitoring visits will assess whether facilities operate with regard to best practice, as specified in NAEAC's Good Practice Guide for the Use of Animals in Research, Testing and Teaching.

7 Monitoring

The AEC has the power to inspect animals, their accommodation, and related experimental records at any time to satisfy itself that approved procedures are being properly carried out. This will include the power to monitor approved protocols, require animal users to report back to the AEC, monitor adherence to specific operating procedures, and to monitor animal facilities, routine animal husbandry and animal welfare.

7.1. Monitoring during the Approval Period

The AEC will monitor through site visits to animal breeding and holding facilities, visits to users of animals, and visits to locations where approved manipulations are being performed (on and off campus). Monitoring may include direct inspection of animals and animal-holding facilities, viewing of monitoring records by the approval holders (including records of drug use), discussions with approval holders, interviews of technical staff, and reports by the University Veterinarian. The AEC may request approval holders provide interim reports and/or supply video footage of protocols. Reports on site visits by the AEC or Veterinarian will be tabled at the next meeting.

7.2. Monitoring by Proxy

Between meetings of the AEC, the Chair can unilaterally undertake site visits and inspections, and/or appoint another member of the AEC to undertake this task. The Chair can also request the University Veterinarian undertake a site visit. Monitoring by the Chair or proxy may include direct inspection of animals and animal-holding facilities, viewing of monitoring records by the approval holders (including records of drug use), discussions with approval holders, interviews of technical staff, and reports by the University Veterinarian. Reports on site visits by the Chair or proxy nominated by the Chair will be tabled at the next AEC meeting.

7.3. Frequency of Monitoring

The AEC will undertake project monitoring visits to facilities at least twice per year for projects graded A and B (but more frequently if required to achieve visits to projects graded C - E as described in section 7.5). All site visits and monitoring will be reported and tabled in the minutes of the AEC meetings.

7.4. Monitoring of Manipulations Grade A & B

At least 10% of projects graded A and B will be visited. Where the location of the procedures makes a site visit problematic (e.g. isolated island, Antarctica), the AEC can request approval holders provide a video record of procedures and/or use a live video link (e.g. Zoom) to monitor the approval. All reports on the monitoring of manipulations will be provided to all members of the AEC. Monitoring is to be undertaken at least once a year.

7.5. Monitoring of Manipulations Grade C-E

All projects graded C to E will be visited by the AEC. Where the location of the procedures makes a site visit problematic (e.g. isolated island, Antarctica), the AEC can request approval holders provide a video record of procedures and/or use a live video link (e.g. Zoom) to monitor the approval. The AEC can also request the University Veterinarian undertake a site visit and report the outcome of such visits to the AEC. All reports on the monitoring of manipulations will be provided to all members of the AEC. Monitoring is to be undertaken at least once a year.

7.6. Specific Manipulations

New manipulations or high impact manipulations may be approved with conditions that must be met by the applicant before full approval is granted. This may include applicants providing the AEC with a report on preliminary trials of the manipulation, site visits by the AEC, and/or reports from the University Veterinarian on the welfare of the animals subject to the new/high impact manipulations. The AEC has the right to prohibit further use of the new/high impact manipulations if animal welfare is compromised beyond that expected and detailed in the application.

7.7. End of Approval Reporting

Applicants must submit a report to the AEC within 3 months of the end of their project using the Final Report on Project Form. The report is circulated to members of the AEC and held on file. The report is tabled on the agenda at the next face to face meeting of the AEC and open for discussion. Any adverse events arising during a trial should be reported to the AEC at the time and not deferred until the final report. End of project reports should also aim to detail improvements in manipulations that have been identified during the study.

7.8. End of Approval Grading

Applicants must submit a final report on their project to AEC within 3 months of the completion of their project. The report is circulated to members of the AEC and held on file. The impact gradings in the initial application must be listed in a table alongside the gradings performed at the completion of the project. The applicant is asked to explain any discrepancy between the two gradings. Changes in approved and actual gradings will be discussed and reviewed at an AEC meeting and used to assess future applications proposing the same or similar procedures.

7.9. Compliance Breaches

7.9.1 Non-compliance with an AEC approval

If an approval holder is found non-compliant with an AEC approval, an immediate cessation to further work may be issued and only reinstated upon further consideration of the AEC. The Chair will report to the AEC, Deputy Vice-Chancellor (Research), and Head of Department/School on the non-compliance for further action if warranted. The AEC may also consider whether disciplinary measures are required. Such a process would follow the University of Canterbury's Policy of Disciplinary and Misconduct Procedures, as applicable. Reinstatement of suspended approvals will occur upon consideration of the AEC.

7.9.2 Non-compliance with legislation or regulations (*including non-compliance with this CEC*).

If an approval holder is found non-compliant with legislation or regulations, or non-compliance with this CEC, an immediate cessation to further work may be issued and only reinstated upon further consideration of the AEC. The Chair will report to the AEC, Deputy Vice-Chancellor (Research), and Head of Department/School for further action if warranted, including the involvement of regulatory authorities. The AEC may also consider whether disciplinary measures are required. Such a process would follow the University of Canterbury's Policy of Disciplinary and Misconduct Procedures, as applicable.

7.10. End of Approval Statistics

Applicants must submit a final report on project to AEC within 3 months of the completion of their project. The report is circulated to members of the AEC and held on file. The number of animals used at the completion of the project must be listed alongside the number initially approved. The applicant is asked to explain any discrepancy. Applicants using more animals than initially approved can only do so upon the prior submission and approval of the form Application for Amendment to Approved Protocols, in which the use of additional animals is requested.

8 Arrangements for External Parties to Use the CEC and AEC

Parenting agreements are not permitted as a matter of policy by the University of Canterbury.

9 Complaints Procedures

Note; maximum penalties for individual and corporate offences against the Animal Welfare Act 1999, the Animal Welfare (Records and Statistics) Regulations 1999 and other legislation and regulations that apply to the use of animals for research, testing and teaching are included in the text of each Act and Regulation.

Complaints by applicants, AEC members, other members of the University of Canterbury, and the public will be dealt with fairly and promptly. Complaints received by the AEC may involve concerns about animal suffering and welfare, decisions made by the AEC, or about personnel. Complaints against personnel may be directed towards researchers, lecturers, students or members of the AEC, including the Chair. In the first instance, complaints are made to the Chair of the AEC. The Chair will then inform the AEC, Deputy Vice-Chancellor (Research), and Head of the Department/School involved (if applicable). All records of complaints, correspondence and minutes of meetings held to deal with complaints are recorded and stored in the AEC files. If the complaint is against the Deputy Vice-Chancellor (Research) then the Registrar/General Counsel will be informed.

9.1. Animal Welfare Complaints

9.1.1 Complaints by the public.

Complaints received by the AEC from members of the public are considered to be either emergency or non-emergency. Complaints considered an emergency are those in which animal welfare is jeopardised and the situation must be resolved immediately. Non-emergency complaints are all other complaints in which animal welfare is not immediately compromised. All complaints are directed to the Chair of the AEC (or Deputy Chair in her/his absence). The Chair (and at least one other member of the AEC) will then immediately investigate the complaint, which may include an unannounced visit to the place of research in question to make an assessment. If the situation is considered to have placed animal welfare in jeopardy, an immediate cessation to further work may be issued and only reinstated upon further consideration of the AEC. The Chair will report to the AEC, Deputy Vice-Chancellor (Research), and Head of Department/School the outcome of the emergency complaint for further action if warranted. Reinstatement of suspended protocols may occur upon consideration of the AEC, but only upon evidence that actions have been taken to ensure the risk of the situation reoccurring has been minimised. This may include visits by the AEC and inspections by the University Vet to assess whether animal welfare would be compromised should reinstatement of approvals be granted. The AEC may also consider whether disciplinary measures are required. Such a process would follow the University of Canterbury's Policy of Disciplinary and Misconduct Procedures as applicable. The member of the public will also be informed of the outcome of the complaint.

9.1.2 *Complaints by employees*

Animal welfare complaints made by employees shall be managed in the same manner as described in section 9.1.1.

9.1.3 *Complaints by AEC Members*

Animal welfare complaints made by AEC members shall be managed in the same manner as described in section 9.1.1.

9.1.4 *Breaches of the Act*

Investigations that confirm breaches of the Animal Welfare Act by either or both individual and corporate actions will be subject to prosecution by regulatory authorities. Individuals will also be subject to the University of Canterbury's Policy of Disciplinary and Misconduct Procedures, as applicable. Penalties for individual and corporate offences against the Animal Welfare Act 1999 and other legislation and regulations that apply to the use of animals for research, testing and teaching are included in the text of each Act and Regulation.

9.2. Procedural Complaints

Complaints considered as procedural are defined as those in which animal welfare is not jeopardised. This may include complaints against decisions made by the AEC or personnel, including members of the AEC. All procedural complaints are to be directed to the Chair of the AEC (or to the Deputy Chair in their absence or in the case of a complaint against the Chair). A meeting of the AEC will then be arranged to address the formal complaint. The person filing the complaint may be asked to attend the meeting in person to address the AEC and to discuss the source of the complaint. The Chair will report to the AEC and Deputy Vice-Chancellor (Research) on the outcome of the complaint for further action if warranted.

9.2.1 *Complaints by Applicants*

An applicant who believes the AEC is failing to comply with procedures with respect to the Animal Welfare Act or with the CEC may report non-compliance in confidence to the AEC Chair, Deputy Vice-Chancellor (Research), and/or to the Director-General. The Chair (and at least one other member of the AEC) will then immediately investigate the complaint. The Chair will report in writing to the AEC, Deputy Vice-Chancellor (Research), and/or the Director-General the outcome of the complaint and if further action if warranted. The report will be discussed at the next scheduled meeting of the AEC. If disciplinary measures are required, such a process would follow the University of Canterbury's Policy of Disciplinary and Misconduct Procedures, as applicable.

9.2.2 *Complaints by AEC Members*

Any member of the AEC who believes the AEC is failing to comply with procedures with respect to the Animal Welfare Act or with the CEC may report non-compliance in confidence to the AEC Chair, Deputy Vice-Chancellor (Research), and/or to the Director-General. The Chair (and at least one other member of the AEC) will then immediately investigate the complaint. The Chair will report in writing to the AEC, Deputy Vice-Chancellor (Research), and/or the Director-General the outcome of the complaint and if further action if warranted. The report will be discussed at the next scheduled meeting of the AEC. If disciplinary measures are required, such a process would

follow the University of Canterbury's Policy of Disciplinary and Misconduct Procedures, as applicable.

9.2.3 *Complaints against the Chair*

Animal welfare complaints made by AEC members, staff members, or the public, that concern the Chair of the AEC shall be managed by lodging a formal complaint to the General Counsel and Registrar of the University of Canterbury. The General Counsel and Registrar will inform the Deputy Vice-Chancellor (Research). Procedures for dealing with complaints will follow the University of Canterbury Policy document of Grievance Procedures. The Deputy Vice-Chancellor (Research) may request the Deputy Chair act as Chair and form a Subcommittee to investigate the complaint. If disciplinary measures are required, such a process would follow the University of Canterbury's Policy of Misconduct and Disciplinary Procedures, as applicable.

10 Process to Amend, Suspend or Revoke the CEC

The code holder may apply in writing to the Director-General to amend, suspend, or revoke the CEC, stating the reason why the CEC should be amended, suspended, or revoked. Minor amendments to the CEC must also be notified to MPI, but any amendments to the code which are not minor must be approved by MPI. Any changes to the code will be communicated to staff and students through the University of Canterbury's AEC webpage and by email to current holders of AEC approvals.