

**New Zealand Association of Science Educators**

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

(Section 88 of the Animal Welfare Act 1999)

**13 December 2024 – 12 December 2029**

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# 1. Background on the Activities of the Code Holder

([Section 89](#) and [Section 93](#) of the Animal Welfare Act 1999)

## 1.1 Organisational Activities

- i. The Animal Welfare Act recognises the role of animals in research, testing and teaching in society, and that the use of animals in education, including in schools, has a cost that must be weighed against the potential benefit obtained. Animals used in RTT have made major contributions to biological knowledge, including in the areas of welfare of humans and animals, and this knowledge is available to school students as they enter into tertiary education in pathways of medicine, biomedical science and agriculture. For students to have an understanding of the ethical use of animals in RTT is of benefit to the community in which they live and are becoming adult members.
- ii. The NZASE Schools' Code of Ethical Conduct is designed to comply with all the requirements of the Animal Welfare Act 1999 (the Act) so that manipulations can be undertaken with animals at any early childhood centres, kindergartens, primary, secondary schools, and home-schooled students within Aotearoa New Zealand.
- iii. Applicants for ethical approval will be teachers, principals, head teachers, centre managers, parents, caregivers and students.
- iv. After projects are approved, or identified as approval not required, under this Code they will be eligible for entry into regional and national events such as Science and Technology Fairs, CREST Awards and the Bright Sparks Programme.
- v. The activities of the NZASE Schools' Animal Ethics Committee (the Committee) include to:
  - a. assess, and where appropriate approve, applications to manipulate ([section 3](#) of the Animal Welfare Act 1999) animals in teaching projects
  - b. communicate to teachers and students the requirements of the Animal Welfare Act, and the need to seek approval under the Code prior to manipulating animals in school projects
  - c. answer questions from teachers and students, and guide their project design to meet best animal welfare practice.
- vi. All animals, including invertebrates, should where practicable be given the same level of humane care and attention as animals that are covered by the Animal Welfare Act 1999 (e.g. dogs, cats, sheep, birds, fish and crabs).

## 1.2 RTT and Te Tiriti o Waitangi Obligations and Principles

The Te Ara Tika principles and their application to animal research ethics<sup>1</sup>:

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<sup>1</sup> These points are taken from Auckland University CEC - V1. December 2022  
<https://www.auckland.ac.nz/assets/research/animals/Code%20of%20Ethical%20Conduct%202022%20UoA.pdf>

Whakapapa (relationships): Developing authentic relationships through meaningful consultation and putting in place structures or processes that have been established to support these relationships. Where RTT is of direct relevance to iwi, researchers are required to consult with relevant stakeholders in a culturally appropriate manner prior to undertaking any RTT.

Tika (purposefulness): RTT involving animals should only be carried out in circumstances where the perceived benefits outweigh the harms caused. In this context, purposefulness is the expectation that the project is well designed and carried out to a sufficient standard to be able to deliver these benefits (i.e., that it is fit for purpose).

Manaakitanga (cultural and social responsibility): All participants in RTT should act with respect for others. This respect extends to all sentient beings involved in the project, be they human or members of other species.

Mana (justice and equity): When RTT involves animals, the benefits of the project often accrue to a different group than those that bear the costs. Under these circumstances, particular care should be taken to ensure that the group bearing the costs is treated with as much care as possible in order to minimise this imbalance.

### **1.3 The 3 Rs**

The AEC considers applications for:

- teacher-led projects, and student-led projects where applicants are required to consider the 3 Rs principles of reducing, refining and replacing the use of animals. Applicants are encouraged to work in groups and use the lowest number of animals that will give statistically significant results. NZASE encourages applicants to consider using computer generated and/or 3-dimensional models where possible, and that all approved techniques are designed to minimise harm and increase positive welfare of the animals.

### **1.4 Responsible Individuals**

The Code holder NZASE is ultimately responsible for the administration of the CEC. In practice, they may choose to delegate the day-to-day administration to members of the Animal Ethics Committee within the organisation. The responsible individual/s for the day-to-day administration of this code of ethical conduct are the Chair, deputy Chair and secretary of the Animal Ethics Committee.

### **1.5 Individuals/Organisations under the CEC**

This Code applies to teachers and students of early childhood centres, kindergartens, primary schools and/or secondary schools, and parents of home-schooled students across Aotearoa New Zealand, who seek ethics approval regarding animals being used in schools and school-based activities. These school and school-based activities are inclusive of before/after school, holiday, forest and one day school programmes.

## 2. Functions, Powers and Membership of the Animal Ethics Committee (AEC)

### 2.1 Functions and Powers of the AEC

Section 99 of the Animal Welfare Act 1999 outlines the functions and powers of the AEC.

The functions of an animal ethics committee are:

- a) to consider and determine on behalf of the code holder applications for the approval of projects;
- b) to consider and determine, under Section 84(1)(a), applications for the approval of projects:
  - i) to set, vary, and revoke conditions of project approvals,
  - ii) to monitor compliance with conditions of project approvals,
  - iii) to monitor animal management practices and facilities to ensure compliance with the terms of the code of ethical conduct,
  - iv) to consider and determine applications for the renewal of project approvals,
  - v) to suspend or revoke, where necessary, project approvals, and
  - vi) to recommend to the code holder amendments to the code of ethical conduct.
- c) Communicate the requirements of the Animal Welfare Act, and the need for ethics approval prior to manipulation of an animal in any school project. This is done through school science networks and committees, and email and web-based communications.
- d) Educate and advise applicants on using animals so that they learn more about animal welfare requirements and guide their project design to meet animal welfare best practice standards.

(2) Each animal ethics committee has such powers as are reasonably necessary to enable it to carry out its functions.

### 2.2 Membership of the AEC

The Committee will comprise a minimum of four mandated statutory members and at least one additional organisational member. The number of AEC members shall not exceed nine.

#### *Statutory members*

- The code holder or, if the code holder is an organisation, a senior representative of the organisation appointed by its National Executive who is qualified to evaluate applications.
- A veterinarian nominated by the New Zealand Veterinary Association (NZVA) who is not employed by or associated with the code holder.
- 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 code holder, or involved in RTT.

- A person nominated by a territorial authority or regional council, not employed by or associated with the code holder, or associated with the scientific community or an animal welfare agency.

All activities of the Schools' Animal Ethics Committee are limited by the funding that has been secured from the Ministry of Education.

- Committee members will receive an honorarium fee for attending each meeting, which includes all preparation and other duties relating to the Committee. This fee is fixed depending on funding that has been secured from the Ministry of Education, and procedures laid down in the Schools' Animal Ethics Committee Operating Manual.
- Travel expenses for any Face to Face meeting will be reimbursed.
- Travel expenses for any agreed monitoring activities will be reimbursed.
- The secretary will record meeting attendance and contributions, with members being paid as a bulk sum at the end of the AEC financial year.
- The secretary will be paid an hourly rate up to a maximum annual fee.

### *Organisational members*

NZASE, on the advice of the AEC or the National Executive of NZASE, may from time to time make additional internal appointments. Such appointees will usually be qualified science teachers.

### *Additional members*

- NZASE will appoint a secretary to carry out the secretarial duties of the Committee. The secretary will not have contributing decision-making rights.
- Internal appointments (i.e. members who also belong to NZASE) may be made by the National Executive of NZASE.
- The Committee may also include additional members. A common example is to enable succession planning so an incoming member can gain expertise – this may be particularly relevant to ensure the teaching profession is well represented.
- The Committee may co-opt additional people with special expertise to attend meetings in an advisory capacity. These additional advisors do not have decision-making rights.

## **2.3 AEC Appointment Procedures**

### *Members, Chair/Deputy Chair*

- Appointments are made to provide the best possible representation for the range of sectors of the education community and ages of the students that will use the Committee. The appointment must be documented in writing and filed for AEC records. NZASE is responsible for all appointments.
  - Chair: Appointed by NZASE.
  - Deputy Chair: Decided by the AEC and will fill the role of Chair when unavailable. Any such decisions will be recorded in the meeting minutes.
  - Organisational Members: Appointed by NZASE, with appointments to be documented in writing.
- The Code Holder (President, NZASE) is responsible for appointment of statutory external members, and for the secretary.

- a. Contact the relevant body requesting that they nominate a person to the AEC.
  - b. Specify the term this nominee will serve.
  - c. Request nominations in writing.
  - d. NZASE reviews the nomination, and formally appoints the nominee if deemed suitable.
  - e. Document the appointment in writing.
  - f. If the nominee is not appointed, contact the relevant body to discuss and seek a further nomination.
  - g. Retain copies of all nominations and appointments in AEC records.
- iii. External appointments often require the outside organisations being approached, so that they are aware of the need for the position to be filled, and can put forward a suitable nominee.
- iv. Existing Committee members may be in the best position to approach the outside agencies, and may be willing to do so: however NZASE is expected to initiate this process and ask for help, if required. NZASE is responsible for finding a replacement. Replacement procedures will follow the appointment procedures.

### ***Term of Appointment***

Statutory external members are appointed for a maximum of one 3-year term.

Organisational members are appointed to a 3-year term due to their role within NZASE or expertise in education. They can be appointed for a maximum of two terms.

### ***Reappointments***

Statutory external members will serve a maximum of one three year term - no reappointment.

Organisational members can be reappointed for a maximum of one successive three year term on agreement with NZASE.

### ***Vacancies***

In general, the Committee can function well for a short period without full attendance at meetings, with rules of quorum applying.

In the event a member is unable to attend meetings on a regular basis, the Chair will speak to the member to address any issues that may be easy to solve, or to discuss resignation if this is a mutually preferred option. In the case of resignation, steps will be followed to replace the member as soon as possible.

If a statutory external member will be unavailable for an extended period (ie. more than 3 months), a new nomination should be sought from the relevant organisation. In the meantime the rules of quorum still apply.

### ***Induction and Training***

- i. The Committee will operate a succession plan to ensure that the knowledge of the Committee is maintained, and the members remain motivated and skilled. The

Committee members may be best-placed to find new members, but NZASE will be ultimately responsible for finding replacement members, and for their appointment.

- ii. Where possible, new members will be encouraged to attend meetings prior to the departure of the person that they are replacing. In addition, the Committee will help new members to become familiar with their responsibilities under the Act, in particular for the purposes of performing functions for approving school projects.
- iii. The Chair will induct new members. In the case of a new Chair, NZASE will manage the induction. Induction will cover the following:
  - Schools' AEC Operations Manual
  - Schools' AEC Code of Ethical Conduct
  - Make up of the AEC and current members
  - Provide an induction pack which may include:
    - Copy Part 6 of The Act
    - NAEAC induction pack for new AEC members
    - NAEAC Good Practice Guide
    - Copy of AEC procedure documents
- iv. Committee members will be provided opportunities for upskilling/ongoing development if it is financially viable.

## **3. AEC Standard Processes**

### **3.1 General**

#### *Protection of AEC Members*

No member of an Animal Ethics Committee 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.

#### *Conflict of Interest*

- i. Committee members must declare any potential conflict of interest concerns to the Chair of the Committee, prior to the matter concerned being discussed. When members declare any conflicts, this will be recorded in the meeting minutes.
- ii. The Chair will be responsible for managing any potential conflicts, and an appropriate response on a case-by-case basis. In the case where the Chair is conflicted then the appointed deputy Chair will be handed over the meeting for the period that that item is under consideration.

#### *Confidentiality*

The type of information dealt with by this Committee is not generally of a confidential nature; however the Committee is composed of professional people who deal with all Committee matters in a confidential manner.

Additional advice from other sources can be sought by the Chair or code holder, or by agreement within the Committee. Communications with other sources of a sensitive nature will be treated confidentially.



Members are not authorised to speak for the Committee. All enquiries must be directed to the Chair.

## **3.2 Meeting Procedures**

### *Scope of AEC Meeting*

The following items will be covered during each AEC meeting:

- Standing agenda items
  - Apologies
  - Review of minutes of the previous meeting
  - Matters arising
  - Correspondence
  - Conflicts of interest
  - Confirmation of date of the next meeting
- For review
  - New applications
  - Modifications to approved applications
  - Interim & final project reports
  - Standard operating procedures
  - Adverse events
  - Non-compliances
  - Monitoring reports
  - Complaints

### *Frequency of Meetings*

Frequency of meetings will be determined by the workload requirements, i.e. the numbers of applications to use live animals in teaching. This is currently 6 meetings a year, of which at least one meeting will be face-to-face. Details of meeting dates will be agreed by the Committee at the end of the previous calendar year, and in alignment with the school terms.

- A scheduled meeting may be cancelled if there are no applications or other pressing matters for the Committee to consider.
- The Committee may alter the frequency or timing of meetings depending on workload and availability.

### *Circulation of Meeting Papers*

Applications are received by the secretary at least 7 days prior to the scheduled meeting.

The secretary will ask members for agenda items at least 7 days before a meeting.

The secretary, in consultation with the Chair, will prepare the agenda.

The secretary will distribute the agenda and related documents a minimum of four working days prior to the meeting. Where proposals become available less than four days before a meeting they will only be tabled with the agreement of the AEC members.

The secretary will ensure minutes are recorded at each meeting and distribute them to all members within seven days, and table for approval at the following meeting.

### *Quorum*

At all meetings of the AEC a quorum shall comprise 50%+1 of eligible decision-making members, of which at least two must be statutory external members. All members are expected to attend the scheduled meetings. If a member is unable to attend any meeting they should notify the Chair, and send their comments in regards to any agenda items prior to the meeting.

### *Decision Making*

A decision can only be made at an AEC meeting or via email following a resolution made during an AEC meeting where a quorum is present.

Decisions will be made after all committee members present have had the opportunity to express their views. Decisions of the AEC are made by consensus. Consensus means no decision is made against the sustained objection of an individual or minority. In the event that any committee member expresses a strong concern that is contrary to the majority, the chairperson will seek additional trusted advice, and the committee will have a further opportunity to discuss and decide.

Sources of trusted advice include, but are not limited to,

- The National Animal Ethics Advisory Committee (NAEAC)
- The Ministry for Primary Industries (MPI)
- Subject matter experts as agreed by full committee
- Other Animal Ethics Committee chairs

If consensus still cannot be reached after referral/amendment and discussion, the application will be declined.

All final decisions will be recorded in the minutes and the applicant advised of the outcome in writing with the reasons for any rejection clearly outlined.

All instances where the committee was not able to reach a consensus decision will be recorded in a register maintained for this purpose, including the reasons for disagreement.

### *Effective Input of Committee Members*

To ensure effective input the Chair will ensure that all members have equal opportunity to contribute to the business of the meeting. Decisions will be made after all AEC members present have had the opportunity to express their views. In practice, this involves discussing each application so that each member has the opportunity to raise any questions, concerns, or comments. Any feedback received from non-attending members will be read out by the Chair. The Chair will then verbally summarise the decision, allowing for any further input. The decision is then recorded by the secretary.

### *Online Meetings*

The functions of the Committee are best fulfilled when the Committee members have the opportunity to meet in person, or at regular intervals online. This facilitates a free and frank exchange of ideas and promotes the opportunity for members to participate fully in the review process.

- Face-to-face meetings will be held annually if funding and member timetables allow. These meetings will be used for planning and general business purposes.

- Online meetings are regarded as satisfactory for the Committee operation between face-to-face meetings, and in particular to enable applications to be considered in a timely manner.

### *Establishment and Membership of Sub-Committees*

Sub-committees are not used.

### *Meeting Attendance by Other Parties*

Meeting attendance by other parties would be via invite only. Other parties would only be present in an advisory capacity and would not participate in decision making. When other parties attend AEC meetings, they must agree to maintaining confidentiality of any information discussed. Any conflict of interest must be acknowledged, and would be recorded by the secretary.

## **3.3 Consideration Between Meetings**

The Committee recognises that students in particular may leave their applications until the very last minute and that their proposed RTT is expected to have will likely have little or no impact on animal welfare based on numerous applications previously received. A list of the AEC meeting dates is posted

on the AEC website and applicants are asked to submit their applications two weeks prior to the next meeting.

The Committee will both manage student needs and promote animal welfare by considering approvals between meetings if a quorum can be reached by email correspondence from the Chair. The Chair will review responses and follow the normal decision-making process. Any decision will be emailed to the Committee by the Chair, before responding to the applicant. Any decision reached in this manner must be ratified at the next meeting and recorded by the secretary.

When further information is requested by the Committee after consideration at a meeting, that requested information can be reviewed via email by the AEC members and a decision made if concerns have been addressed. Any decision reached in this manner must be notified to the committee at the next meeting and recorded by the secretary

## **3.4 Secretarial Support**

A secretary will be appointed to the Committee by the Code Holder (NZASE). The secretary is responsible for preparing the agenda, recording the minutes and circulating the documentation and correspondence used by the Committee.

## **3.5 Record Keeping Requirements**

### *Information Management*

- The code holder must keep in relation to research and teaching readily accessible records.
- The secretary maintains records of agenda, minutes, decisions, all correspondence, site visit reports, application forms and approvals, animal statistics forms and all other relevant documentation. Secure storage is maintained.
- The Chair also holds access to the above documents, maintained in secure storage.

- iv. Committee members who retain copies will ensure that they are destroyed at the end of their term on the Committee, and viewer-access to the Google Drive will be removed.
- v. Documents are kept as electronic files with the Google Drive being password protected.
- vi. Records will be kept for not less than 5 years and any destruction of documents will be via an approved secure system.

### *Animal Use Statistics*

On approval of a project, approval holders are advised of the requirement to report animal use statistics back to the Committee as soon as their project is complete, and this is followed up by the secretary.

The secretary collates all required statistics and the chair makes the annual report to MPI by 28th February.

## 4. AEC Technical Processes

### 4.1 Consideration of Applications by the AEC

#### *Criteria for Consideration*

- i. When considering submitted applications the AEC shall ensure that the application meets the criteria set out in section 100 of the Animal Welfare Act 1999.
- ii. Submissions take one of two forms:
  - Student application - for individual or group student projects
  - Teacher application – for class projects which includes but not limited to science, biology, animal care, aquaculture and agriculture teaching and approval is given for three years.
  - Retrospective approval will not be given.
- iii. Student applications must have all sections completed, be reviewed by their responsible adult (teacher or parent, if in a home school setting), and have previously sought advice from an expert. Students can be named on the application however ultimate legal responsibility would be held by the responsible adult (parent or teacher).
- iv. The AEC has a strong educational role.
  - a. Where appropriate, applicants will be offered help with the science and animal welfare aspects of the proposed application.
  - b. To address compassion fatigue, where necessary, applicants will be encouraged to seek support to maintain their wellbeing while caring for the animal(s) in their project.
  - c. Where there is significant use of invertebrate species, an application to the Committee is also encouraged (although it is not required by the Act) as a worthwhile process for students to go through.
- v. The Committee reviews all projects involving the manipulation of animals for RTT purposes (according to sections 3 and 5 of the Act) outlined in each application, to ensure that adequate consideration is given to the humane treatment of animals according to the principles outlined in the Act. Applications for projects also require consideration of reduction, refinement and replacement.
- vi. All animal manipulation protocols and applications must be considered and approved by the Committee prior to commencement. Approval holders must use the forms provided which can be found on the AEC website. The Committee may provide advice on matters pertaining to the acquisition, supply and welfare of animals involved. The result of the manipulation is expected to:
  - Add to the students' understanding of biology and/or behaviour of animals
  - Improve students' understanding of the health and welfare of animals.
- vii. Approval holders are required to provide a written report back to the Committee at the end of the project, which includes outcomes including any adverse events. A completed animal use statistics form also accompanies the final written report.

#### *Impact Grading*

The AEC will only grant approval for A and B grade manipulations. The AEC will not approve any application that has an impact grade of C, D or E.

### ***Outcomes after Consideration***

Applications to the Committee may be responded to in the following ways:

- a. approval not required i.e. not considered a manipulation
- b. approved
- c. approved but more information is required. These applications are able to be approved by the Chair once they have satisfied that the applicant has addressed all questions that were raised by the Committee.
- d. declined – the Committee must provide in writing its reasons for declining the application

### ***Conditions of Approval***

- i. Recognising that school applications are generally for low grade animal manipulations, the conditions of approval are set by the application steps that have been approved by the Committee.
- ii. The secretary will confirm the approval of the proposal in writing, including any conditions imposed to the applicant. The notified responsible adult is expected to supervise any conditions of approval.

### ***Maximum Approval Period***

- i. Schools - Applications from teachers may be eligible for three-year approvals. If there are changes to the approved project during the three-year period, a revised application must be re-submitted for re-approval. Animal usage statistics must be provided each year.

For three year teacher applications, schools should have one designated 'responsible person' with additional teachers listed on the application form. The school is responsible for advising the AEC if the 'responsible person' leaves the school. Changes in the 'responsible person' would require the school to submit a project modification designating a new 'responsible person'.

For student-led applications (whether at school or home schooled) - including Science and Technology Fair projects and other sponsored award competitions - the student(s) must prepare the application for AEC approval and must be named the Principal Investigator. A responsible adult must sign the application and will have ultimate regulatory responsibility to ensure compliance with conditions of approval. These applications will be eligible for the period stated on the application and retrospective approval will not be given.

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

- i. The Committee may suspend or revoke approvals. Reasons for suspension or revocation may include:
  - a. when it is clear that the welfare of an animal, or animals, is being compromised, or is likely to be compromised
  - b. adverse events
  - c. approval holders vary from approved conditions
- ii. To monitor compliance with conditions of project approvals

### *Modifications to Approved Applications*

If applicants wish to change an approved protocol, permission must be sought from the AEC in advance. Guidelines for the modification of protocols will be provided once the nature of the change has been assessed by the Committee. If considered a modification to the application then permission must be sought in writing and must include full details of the proposed changes. The AEC will assess the changes according to the approval process.

## **4.2 Standard Operating Procedures considered by the AEC**

Those who use this CEC and apply to use animals for teaching or research may choose to develop standard operating procedures (SOPs), which could include (but are not limited to) outlines of lesson planning using animals, care of animals, and standardised educational programmes). SOPs Independently developed; exemplary SOPs may be disseminated via NZASE with permission of the drafter.

The AEC must review, to inform their decision making under section 99(1)(a) of the Animal Welfare Act 1999, any SOPs when they are provided as a part of any application which is submitted to them.

The Education Review Office oversees the review of school policy documents relating to the care and use of animals. Audit reports are available for AEC members to view on request to ensure maintenance of their functions under section 99 of the Animal Welfare Act 1999.

## **4.3 Amend, Suspend or Revoke the CEC**

- (1) Every code holder may apply to the Director-General for their approval to the amendment, suspension, or revocation of the approval of the code of ethical conduct in respect of which the code holder holds the Director-General's approval.
- (2) Every such application must be in writing and must state the reason why the code of ethical conduct should be amended, suspended, or revoked.
- (3) The Director-General must refer to the National Animal Ethics Advisory Committee for its comments on every application made under subsection (1) for their approval to the amendment of a code of ethical conduct and must consult with that Committee with regard to every such application.
- (4) Despite subsections (1) to (3), nothing in this section prevents a code holder from making minor amendments to a code of ethical conduct (being minor amendments that would not materially affect the purposes of the code) without the approval of the Director-General.
- (5) Where, in any year ending with 31 December, a code holder makes minor amendments to a code of ethical conduct, that code holder must, as soon as practicable after the end of that year but not later than 31 March in the succeeding year, give to the Director-General in writing particulars of those minor amendments.
- (6) Any amendments to the CEC will be communicated on the SAEC website.

## 5. Monitoring by the AEC

([Section 99](#) of the Animal Welfare Act 1999)

The approval holder or, in the case of students, their responsible adult, are expected to ensure that manipulation of any live animal is carried out in accordance with this Code, and the Animal Welfare Act.

Monitoring is difficult for the NZASE AEC due to the multiple sites across New Zealand, with many being private residences. In these cases, monitoring is performed remotely and is normally achieved through photos and/or videos requested of the approval holders.

### 5.1 Monitoring during the Approval Period

- i. Monitoring of projects being carried out under an approval can occur in several ways:
  - A site visit during the approved application period
  - Follow-up visits will be made as considered necessary to review any changes in project(s)
  - Log books and record results (bound or electronic)
  - Photos and videos
- ii. At the time of application review, the AEC will determine whether a site visit inspection of the proposed project(s) is required.
- iii. Site visits will be documented in writing, with copies sent to the AEC, the investigator and their immediate manager/caregiver/parent. Site visit reports will be tabled at the next AEC meeting.
- iv. Monitoring will be conducted on 10% of approved applications.

### 5.2 Monitoring by Proxy

The AEC may nominate personnel on a case-by-case basis, to conduct site visits. Such personnel will be experienced teachers, national judges and regional chief judges of Science and Technology Fairs, CREST Awards assessors, experienced scientific researchers, members of approved animal welfare organisations, and approved veterinarians. Written reports to the Committee will be required, and will be tabled at the next AEC meeting.

### 5.3 Monitoring across Impact Grades

The Committee considers the application and grades accordingly as part of the application process. To date, the Committee has only approved grade A or B applications.

A minimum of 10% of approved applications will be required to submit final project updates, including photos and/or videos of their completed project.

### 5.4 Monitoring Specific Manipulations

The AEC does not approve grade C, D or E applications. Monitoring of all approved projects follows the process outlined in sections 5, 5.1 and 5.2.

### 5.5 Monitoring Animal Facilities



NZASE does not currently own dedicated animal facilities. Projects approved by the AEC are typically undertaken in classrooms, in the field, or in private residences. These are considered animal facilities not owned by the code holder.

To ensure appropriate oversight, the AEC, as part of any application, must receive photo and/or video evidence of where animals will be held for the duration of the project. AEC members reserve the right to ask for additional information and/or inspect the locations if this is required for reporting purposes. The AEC reserves the right to decline any project where suitable evidence is not provided as part of the application.

- i. If an animal facility was to be established under the auspices of this Code, the following would be required:
  - a. Identification of Facility Manager  
This person would be responsible for the daily operation of the animal care programme.  
  
The Facility Manager will perform an annual review of their animal care procedures, the purpose of which is to review the operation of the unit and address any concerns. A copy of this review would be sent to the AEC no later than the last meeting of the year. The AEC may at any time appoint a suitably qualified person to inspect the animal facility.
  - b. Operating procedures of the facility  
An operating plan, including the husbandry of animals in the facility, would need to be developed and approved by the Committee.
  - c. Monitoring  
The facility would be monitored by the Committee, or a qualified nominated person.

## **6. Responsibilities of organisations/individuals with AEC Approved Applications**

### **6.1 Reporting to the AEC**

#### *Project Reports*

The notified responsible adults must take an active role in managing and monitoring the approved project. The student and the responsible adults are provided with clear guidelines to follow. Final reports about the project should accompany the statistics return.

After an application is discussed, an email is sent to the applicant to inform of their project's approval/non-approval. Attached to the email is the animal statistics form with instructions to return the form at the conclusion of the project. Approval holders may need to be reminded to return the form to the AEC. In the first instance an email will be sent by the secretary to the approval holder, and if there is no reply, an email to the Responsible Adult and principal (for teacher applications) will be sent.

#### *End of Approval Grading & Animal Use Statistics*

The Committee considers the application and grades any animal manipulation accordingly as part of the application process. The AEC, after reviewing the approval report, assesses the

actual impact versus the approved impact of the manipulation.

Animal use statistics forms are supplied at the time that approval is given. The approval holder is responsible for:

- monitoring the number of animals used
- ensuring that animal usage is reported to the AEC

The AEC secretary ensures that statistics are reported when the project is complete, and are submitted with their final report.

### ***Non-Compliance***

The AEC must be notified in writing of any non-compliance immediately. Non-compliance is any activity that does not comply with:

- the AWA, or its associated regulations
- this Code of Ethical Conduct
- the AEC approval or conditions

Final reports are reviewed by the AEC. During the review, if the project sounds different from what was approved, the Committee can go back to the approval holder to ask for an explanation.

The Chair will raise the non-compliance at the next meeting. If immediate action is required, the Chair shall communicate directly with at least one statutory external member as soon as possible, to determine appropriate actions. Any such actions will be reviewed at the next scheduled meeting.

In each case the Chair / AEC should speak with the approval holder and consider whether notifying the parent or school Principal is appropriate. In case of breaches of the Animal Welfare Act, MPI is to be notified.

### ***Adverse Events***

All adverse events must be reported promptly (within 1-2 days) in writing to the AEC. The Chair will raise the notification of an adverse event at the next meeting. If immediate action is required, the Chair will communicate directly with the approval holder to mitigate the impact of any adverse events.

Only A and B grade manipulations are approved by the AEC. A condition of approval is that in the unlikely event an animal becomes unwell or injured, veterinary attention must be sought.

## **6.2 Records Management**

Approval holders must take photos and/or videos of their project that are shared with their final report. Data is to be recorded in a logbook - bound or electronic that can be shared on request with a summary supplied in their report.

The AEC requires self-monitoring by the responsible adult of all approved manipulations. This will require:

- records of monitoring,
- reporting of any adverse event,

- an end of project report, videos and photographs need to be sent to the AEC, and
- written evidence from the responsible teacher/parent of all video recordings sighted.

The AEC will maintain a spreadsheet summarising applications and responses.

### **6.3 Appropriate Qualifications**

Approval is only given to applications that can be safely carried out by the applicant, in some cases with the supervision of responsible adults (parents and teachers). Students must engage in discussions with individuals possessing experience or qualifications to identify both existing and potential risks to both the animal and themselves. The expert, and their qualification, is a compulsory part of the application form.

For teacher applications, teachers must provide information about their qualifications and experience as it relates to the proposed project.

### **6.4 Sick and Injured Animals**

Sick or injured animals must, as soon as possible, receive the appropriate care by a qualified person e.g. veterinarian. Local veterinary clinics should be used for this purpose.

### **6.5 Standard Operating Procedures developed by the Code Holder**

NZASE may direct the AEC to develop SOPs regarding animal management practices and guidance for facilities that can be used in applications. Development of such SOPs is not mandated under this CEC or by the Act.

The Education Review Office oversees the review of school policy documents relating to the care and use of animals. Audit reports are available for the Code Holder to view on request to ensure maintenance of their functions under section 99 of the Animal Welfare Act 1999.

### **6.6 Management of Animal Facilities**

NZASE does not currently own dedicated animal facilities. Projects approved by the AEC are typically undertaken in classrooms, in the field, or in private residences. Regardless, the following provisions allow for the code holder to be satisfied that the requirements of the Animal Welfare Act 1999 (the Act) are met by applicants.

#### *Policies & Procedures*

Animals must be cared for appropriately and in accordance with the AEC approval and any relevant codes of welfare issued under Part 5 of the Act.

Schools who keep animals are required to ensure that the facilities are documented as part of the school facilities and comply with MPI welfare and shelter requirements. The facility would be monitored by the Facility Manager or other school appointed person with suitable qualifications. Facilities would ensure adequate physical, health, and behavioural needs, in relation to animals including:

- proper and sufficient food and water,
- adequate shelter,
- opportunity to display normal patterns of behaviour,
- physical handling in a manner which minimises the likelihood of unnecessary pain or distress, and

- protection from any significant injury or disease.

### *Emergency Management*

Schools are encouraged to proactively incorporate emergency management planning for animals in their care as part of the school's general emergency preparedness. Should the current plan not cover animals specifically, the AEC requires evidence, with the application, that this has been considered and a temporary plan put in place.

### *Housing of Animals*

Animals must be cared for appropriately and in accordance with the AEC approval and any relevant codes of welfare issued under Part 5 of the Act. NAEAC's Good Practice Guide provides information on appropriate housing for some species.

### *Transportation of Animals*

Animals may be transported between locations if specified in the project approval. All transportation of animals must be in accordance with transport provisions described within Codes of Welfare (where relevant to the species), the Act, and any other Regulations which may be appropriate. Those transporting animals should state this as part of the application.

## **6.7 Euthanasia for Tissue Collection**

Schools are generally supplied cadavers or tissue and body parts from nearby research or abattoir facilities, so the approval for this is not covered by this Code.

The AEC will not consider any application to manipulate an animal by euthanising it to use its body or tissues for RTT.

## **6.8 Rehoming**

The Committee does not approve applications where students intend to purchase animals and then rehome them at the completion of their project. The Committee does consider projects where the teacher proposes using livestock (such as chickens) that will join a school or personal farm.

# **7. Compliance Breaches & Complaints Procedures**

([Section 103](#) of the Animal Welfare Act 1999)

## **7.1 Compliance Breaches**

### *Non-Compliance with an AEC Approval*

The responsible adult identified on the application is responsible for ensuring compliance in that project.

This includes compliance with:

- the AWA,
- this CEC,
- any conditions of approval, and

- collection of animal use statistics.

In any case of non-compliance the Chair should speak with the approval holder and consider whether notifying the parent or school Principal is appropriate. In case of breaches of the Animal Welfare Act, MPI is to be notified.

#### ***Minor Non-Compliance with Legislation or Regulations (including the CEC)***

The AEC deals with students and teachers in their home or school environment. Minor non-compliance complaints relating to animal welfare, AEC procedure or regulatory issues must be addressed to the Chair in writing to be minuted and discussed at the next AEC meeting. A letter outlining the non-compliance would be sent as well as guidelines for compliance to be adhered to in future.

The Committee can seek advice from the MPI Animal Welfare Group or the SPCA.

#### ***Major Non-Compliance with Legislation or Regulations***

The AEC deals with students and teachers in their home or school environment. Major non-compliance complaints relating to animal welfare, AEC procedure or regulatory issues must be addressed to the Chair in writing to be minuted and discussed at the next AEC meeting. A letter outlining the non-compliance would be sent as well as guidelines for compliance to be adhered to in future.

An on-site visit may be required for those involved in a major non-compliance. This will be determined by the Chair, in consultation with the Committee and/or through the advice from MPI Animal Welfare Group or the SPCA.

The Committee can seek advice from the MPI Animal Welfare Group or the SPCA.

## **7.2 Animal Welfare Complaints**

### ***By the Public***

Any complaints relating to animal welfare, AEC procedure or regulatory issues must be addressed to the Chair in writing. All complaints are kept in a secure online folder and are reported to the AEC. The Chair, in conjunction with the AEC, will investigate the matter and determine any corrective action that may be required. Complainants are notified of the outcome of the investigation in writing.

The AEC deals with students and teachers in their home or school environment. Advice would be sought from the MPI Animal Welfare Group or the SPCA.

### ***By Employees***

Complaints made by employees are managed in the same manner as for a public complaint.

### ***By AEC Members***

All complaints must be in writing and sent to the AEC Chair. In the absence of the Chair, the complaint should be sent to the President of NZASE.

## **7.3 Procedural Complaints**

([Section 103](#) of the Animal Welfare Act 1999)

### *By Applicants*

Complaints made by applicants and/or approval holders are managed in the same manner as for a public complaint (see section 7.2).

### *By AEC Members*

Complaints made by AEC members are managed in the same manner as for a public complaint (see section 7.2).

### *Against the Chair/Deputy Chair/Administrator*

If a complaint concerns the Chair, deputy Chair or secretary (administrator) it should be sent, in writing, directly to the President of NZASE who will assume the role of the Chair.

The President should acknowledge any complaint in writing within 5 working days and determine the appropriate action within 4 - 6 weeks.

Note: where the complaint relates to a significant animal welfare issue the President will investigate and respond within 3 working days, and the matter will be discussed at the next AEC meeting.

Confidentiality (of the complainant) should be born in mind when considering the correct action.

If, at the conclusion of this process, the complainant is still not satisfied and believes that there is a case of non-compliance (against CEC or AWA) that person should report the non-compliance to the Director General as covered in Section 103 of the AWA.

## **8. Arrangements for External Parties to Use the CEC and AEC**

([Section 84](#) of the Animal Welfare Act 1999)

Arrangements are not permitted.