

**Animal Ethics Committee (AEC)  
Code of Ethical Conduct**

**Category:** University Management  
**Last Modified:** July 2008  
**Review Date:** September 2013  
**Approved By:** Assistant Vice-Chancellor (Research)  
**Contact Person:** Human Ethics Committee Secretary, Extn 45588

**Introduction:**

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 R's (Reduction, Replacement and Refinement), and the criteria for decision-making. This code was approved by the Ministry of Agriculture and Forestry (MAF) and is effective from 1 January 2008 to 31 December 2012.

**Definitions:**

**Animal** means any live mammal (excluding human beings), bird, reptile, amphibian, fish, octopus, squid, crab, lobster or crayfish. An animal also includes marsupial pouch-young, mammalian foetuses in the second half of gestation, and avian and reptilian pre-hatched young in the second half of development. This definition will also encompass any other species that might be included by the Governor-General by Order in Council.

**Members of the University** include for the purposes of the Code of Ethical Conduct, any teacher, researcher, technician or employee of the University, whether paid or unpaid and/or any student enrolled at the University of Canterbury. It also includes any visitors from other national or international institutions using University of Canterbury facilities for research or teaching.

**Code of Ethical Conduct (CEC)**

**Part I: List of Animal Ethics Committee (AEC) Members**

**Chair:** Deputy Vice-Chancellor or his/her nominee  
**Deputy Chair:** Dean of Science or his/her nominee

Secretary:	Designated by the Deputy Vice-Chancellor
AEC member:	Head of Department, Department of Psychology or his/her nominee
AEC member:	Head of School, School of Biological Sciences or his/her nominee
Veterinarian:	Nominee from the New Zealand Veterinary Association
RNZSPCA member:	Nominee from the RNZSPCA
Lay member:	Nominee of the Canterbury Regional Council

## **Part II: Management Responsibilities**

- a) Institutional responsibility resides with the Deputy Vice-Chancellor of the University of Canterbury who delegates the Dean of Science to act as Chairperson of the Animal Ethics Committee (AEC). The Dean of Science may nominate a member of the AEC as Chair upon approval of the Deputy Vice-Chancellor and subject to the endorsement of the AEC.
- b) A Deputy Chair of the AEC will be appointed by the Chair to act in the absence of the Chair.
- c) The administration of the AEC is the responsibility of the Deputy Vice-Chancellor's Office.
- d) The Deputy Vice-Chancellor's Office carries out the day-to-day management of AEC matters.

## **Part III: Terms of Reference**

- a) No research 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.
- b) The composition and terms of appointment of the University of Canterbury AEC is set out in Part V of the Code of Ethical Conduct (CEC). Members are appointed for a five year period and reappointments are permissible by nomination through the procedures set out in Part V of the CEC.
- c) The AEC will meet at least four times each year, but more frequently as needed or when a member requests a meeting to discuss any issue of concern.
  - Members will be notified in writing when a meeting is to be called.
  - Members will be given a minimum period of notice of one week before a meeting is called.
  - Meetings may be requested within 24 hours to deal with emergencies.
  - A quorum will be four members and must include two members external to the University.

## **Part IV: Description of General Nature and Extent of Work**

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 only 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 or health of wild 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 hold colonies of rats, mice, pigeon, quail, *Xenopus* and other amphibians, and fish for 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 and teaching in such a way as to cause them minimal stress and suffering.

## **Part V: Animal Ethics Committee (AEC)**

In accordance with the Act, an AEC will be set up to approve projects to regulate the use of animals in teaching and research.

The AEC at the University of Canterbury will comprise:

- a) Deputy Vice-Chancellor or his/her nominee to act as Chairperson;
- b) The Dean of Science or his/her nominee to act as Deputy Chairperson;
- c) The Heads of the Department of Psychology and School of Biological Sciences or their representatives;
- d) A veterinarian, who shall not otherwise be associated with the code holder as defined in the code, nominated by the New Zealand Veterinary Association.
- e) A representative of the broader interests of animal welfare in the community who shall be nominated by an approved organisation concerned with the welfare of animals such as the Royal New Zealand Society for the Prevention of Cruelty to Animals (RNZSPCA), provided that such a person shall not otherwise be associated with the code holder;
- f) A lay person to represent the public interest who is not otherwise associated with the code holder or Animal Welfare agencies, and who is appointed by the AEC on nomination by a local Territorial or Regional Authority.
- g) The AEC shall have the power to co-opt additional non-voting members on a temporary basis, where it requires that person's specialist knowledge.
- h) Members of the AEC will hold office for a term of five years. A member may be reappointed for further five-year terms. No member will be disqualified from the AEC by having held previous office. Attention will be paid to maintaining institutional continuity. In the case of the three external members of the AEC, any reappointment procedure would require a renewed nomination from the relevant nominating body.

It is the responsibility of the Chairperson to ensure all members of the AEC are fully prepared for their role on the Committee.

## **Part VI: AEC Procedures**

- a) 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. The Chairperson will notify AEC members in writing when a meeting is to be called.
- b) A quorum will be four members and must include at least two extramural members. All decisions will be by consensus. In reaching their decisions the AEC will employ the "harm/benefit" analysis outlined in the User's Guide to Part 6 of the Animal Welfare Act 1999 (MAF Policy Information Paper 33).

- c) University of Canterbury will provide secretarial assistance to the AEC through the office of the Deputy Vice-Chancellor.
- d) The Chairperson will be responsible for AEC meetings and operational procedures after formal approval by the AEC. These procedures will be updated from time to time.
- e) Generally AEC meetings will not be open to the public. The Vice-Chancellor of the University of Canterbury or his nominee will advise on any possible requirements under the Official Information Act 1982 in consultation with the Chairperson of the AEC and any other persons involved.
- f) The Chairperson of the AEC will write an annual report for the Vice-Chancellor and University Council. This report will include:
  - A list of present members of AEC,
  - The number of applications processed,
  - Difficulties encountered,
  - Any complaints received,
  - A confirmation that Animal Usage Statistics were forwarded to MAF under the AEC's statutory obligations.
- g) All information will be stored securely for a period of not less than 10 years. Access to this information will only be with the approval of the AEC Chairperson or the Vice-Chancellor.
- h) Complaints procedures to deal fairly and promptly with complaints by applicants, AEC members, other members of the UC and the public will be set up by the Chairperson. Complaints procedures are outlined in Appendix 2.
- i) A member of the AEC that is also an applicant is deemed to have a conflict of interest and must abstain from any vote on approval of his/her application, though at the discretion of the AEC, he/she may participate in discussions of the application.
- j) Applicants seeking amendments to approved protocols are required to submit a Protocol Amendment Form. The form is circulated to the AEC and subject to the same processes of evaluation and approval as new protocol applications.
- k) The Vice-Chancellor may institute an audit of the AEC at any time.

## **Part VII: Approval of Applications by the AEC**

The AEC will be responsible for preparation of the application form required for the approval process. On-going responsibilities of applicants will be clearly outlined on this form requiring their signature. These obligations include the keeping of detailed records of the species and numbers and sources of animals used, the approved manipulations to which they were exposed, and the animal's subsequent fate. This should indicate whether the animal died, was killed or released or was retained. This information shall form the basis of the University of Canterbury's annual return to the Ministry of Agriculture and Forestry, and it is an obligation on the experimenter to make this information available. In the application all applicants must sign to indicate that they have read the Code of Ethical Conduct. Prior to final approval, all applicants must also successfully pass a written exam on their knowledge of the Code and of the use of animals in research, testing and teaching.

## **Part VIII: Monitoring and Compliance**

The AEC will ensure that adequate processes are set up and documented to monitor the activities of research and teaching personnel in relation to conditions of project approvals. Site visits by the AEC to animal facilities will be made at 6 monthly intervals. The University veterinarian will also visit animal accommodation from time to time to confirm that all animal husbandry conforms with recognised animal welfare standards and practices. The AEC will suspend the use of animals by a researcher if it is found that animal welfare is jeopardized or protocols are being conducted in breach of the approvals granted.

## **Part IX: Corrective Action**

- a) The AEC has all 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.
- b) All staff at the University of Canterbury concerned with a project have a responsibility to inform the AEC and take corrective action in any instance where animal welfare is a concern.
- c) The AEC will investigate suspected or alleged non-compliance with the CEC. If transgression is evident the Chairperson of the AEC will give formal written notification to the person involved and their supervisor. The Chairperson acting on behalf of the committee may insist that work be stopped.
- d) Disciplinary action for non-compliance with the CEC will be in accordance with University of Canterbury disciplinary procedures and the Animal Welfare Act 1999.
- e) Where a conflict of opinion arises within the AEC that cannot be resolved, AEC members will seek advice from the National Ethics Advisory Committee (NAEAC) or the National Animal Welfare Advisory Committee (NAWAC) through their secretariats in MAF in Wellington.

## **Part X: Parenting Arrangements**

The University of Canterbury AEC has no on-going parenting arrangements as a matter of policy.

## **Part XI: Information Management**

A person with appropriate skills will be employed as AEC secretary to ensure all AEC minutes, proceedings, decisions and operations are recorded, stored and maintained in a satisfactory manner.

## **Part XIII: Animal Facilities and Practices**

Procedures and policies will be put in place to ensure that animal facilities and practices 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*. These will include:

- a) Proper maintenance of animals including
  - provision of food and water

- humane containment
  - adequate facilities for rest and sleep
  - where appropriate, opportunities to socialise with others of their species.
- b) Training for those responsible for routine care in:
- husbandry
  - methods of restraint
  - recognising signs of ill health
  - maintaining sanitary conditions.
- c) Careful planning of experiments and manipulations to ensure minimum numbers of animals are used in line with the objectives of the experiment. The University of Canterbury is committed to the concept of the 3 Rs; Reduction, Replacement and Refinement.
- d) Pain and anaesthesia: In every case the experimenter will take all practical steps to minimise stress and pain to the animal. All anaesthetic practice shall conform to normal veterinary standards. Where recovery from anaesthesia is necessary, appropriate post-operative measures shall be taken to minimise pain and discomfort in the animals. Where an animal is evidently in severe pain it will be euthanised. Where recovery from anaesthesia is not intended, the animal shall be killed in a humane manner at the conclusion of the experiment. Where appropriate, experimenters must receive training in the use of anaesthetics and the administration of pain relief prior to the start of experiments. Dietary manipulations must not involve significant suffering of the animal concerned. The use of all drugs, including anaesthetics, must be approved by the University Veterinarian and their use and disposal subject to monitoring and supervision by a departmental Drug Control Officer.
- e) Intact healthy animals should be returned to their natural habitat wherever practicable.

### **Part XIII: Training**

The Chairperson of AEC is responsible for the training of AEC members by:

- Interaction with University of Canterbury staff.
- Providing new members with an NAEAC induction pack.
- Referring AEC members to appropriate literature, including relevant NAEAC and ANZCCART publications, and by providing access to University libraries.
- Encouraging attendance at conferences, workshops, meetings, etc.
- Facilitating contact with outside experts.
- Encouraging attendance at appropriate conferences.

The Chairperson of AEC is responsible for the education of University of Canterbury staff and students on ethical matters relating to animal use in experimental procedures is by:

- Training programme provided on-line by the AEC.
- Requirement that all applicants pass an exam on animal use before approvals granted.
- Personal contact with staff by AEC members.
- Written comments by AEC members.
- Circulation of appropriate literature to concerned departments and individuals.

## Part XIV: Complaints Procedure

- a) Procedures and policies will be set in place to ensure complaints from AEC members are dealt with promptly and fairly. These are detailed in Appendix 2.
- b) The Chairperson of the AEC shall have the power to immediately suspend or terminate any experiment or series of experiments or any manipulation where the Chairperson considers that the Animal Welfare Act is in danger of being breached.
- c) Any member of UC whose work is so suspended shall have the right to appeal within 28 days to the full AEC.

This is to certify that the code holder undertakes to conform with all the requirements of the Animal Welfare Act 1999 and will ensure that all persons involved in the animal manipulations and carrying out of these activities are appropriate persons according to that Act. It is accepted that the code holder is also responsible for distributing information on the requirements of the Act to the Animal Ethics Committee to help ensure that the Animal Ethics Committee follows the requirements of the law.

### Related Policies, Procedures and Forms:

- [Animal Welfare Act 1999](#)
- [Ministry of Agriculture and Forestry](#)
- [Ministry of Fisheries](#)
- [On-line Training Manual for Use of Animals in Research, Testing and Teaching](#)
- [Application for Use of Animals in Research](#)
- [Application for Use of Animals in Teaching](#)
- [Application for Amendments to Approved Protocols](#)
- [Final Report on Project to Animal Ethics Committee](#)
- [On-line Exam for Animal Ethics Training](#)

### Appendices:

- Appendix 1: AEC Operational Guidelines
- Appendix 2: Complaints Procedures

### Notes:

1. This Code was developed in October 2007 and will be reviewed every five years.
2. All of the forms listed above and the Animal Ethics training manual can be accessed by clicking on the links above and are also available at the Research Office website <http://www.research.canterbury.ac.nz> or directly from the AEC secretary. The forms will be updated by the Animal Ethics Committee as required.

<b>Version Control Table</b>		
<b>Action</b>	<b>Approval Body</b>	<b>Date Amended</b>
Full Review	Chair, Animal Ethics Committee	29 May 2008

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## **Animal Ethics Committee (AEC) Operational Guidelines**

### **Contents**

1. Submission and Review of Experimental Protocols
2. Document Control and Records
3. Surveillance

#### **1. Submission and Review of Experimental Protocols**

- a) Protocols are submitted to the AEC Secretary on the prescribed form (see Forms).
- b) Only University of Canterbury staff, or Post-graduate students in conjunction with their supervisors, may submit applications.
- c) Copies of the submitted protocols are sent to all AEC members together with a cover sheet, which each AEC member fills in and signs after considering the application. The comments made by committee members are forwarded to the applicant for a response.
- d) Any further information required of the applicant and received in response to comments made by one or more members of the AEC is sent to all AEC members for further consideration and to offer advice to the Chairperson.
- e) All projects graded B or higher are automatically considered at a meeting called by the Chairperson. All projects graded O or A may be approved between meetings but are discussed retrospectively at the next meeting, unless a member of the AEC requests a meeting before approval is granted.
- f) The Chairperson will sign off the protocol or refer the matter back to the AEC for further consideration.
- g) Applicants' answers to questions will be circulated to committee members.
- h) On request by any member of the committee a meeting of the committee can be called.
- i) Applicants must be prepared to appear in person before the AEC to justify and explain their protocols.
- j) After approval, any amendments to protocols will require submission of the form Application for Amendments to Approved Protocols. Amendment applications are circulated to all members of the AEC for feedback and approval. Amendments that are graded B or higher will require automatic consideration at a meeting called by the chairperson. Minor amendments and those graded O or A may be approved by the chair between meetings but discussed retrospectively at the next meeting.
- k) Animal use statistics are required annually and must be forwarded to the AEC Secretary by each protocol holder through their departmental office.
- l) The AEC may co-opt additional non-voting members on a temporary basis when it requires that person's specialist knowledge.
- m) Applicants must submit a report to the AEC at the end of their project using the form Final Report on Project to AEC.

## **2. Document Control and Records**

- a) All protocols are labeled by year and numbered consecutively as they are received. Each is then classified as “R” for Research or “T” for Teaching. E.g. 2007/04R is the 4<sup>th</sup> application received in 2007 and involves Research rather than Teaching.
- b) The University maintains a complete record of all protocols, exams, approvals, and amendments etc. for not less than 10 years.
- c) The University AEC maintains a complete record of minutes, correspondence and reports.
- d) Matters relating to the AEC are confidential to the committee and members are to keep all documents in a secure place.
- e) No documentation except Animal Use Statistics is to be released unless approved by the University after discussion with the Chairperson of the AEC.
- f) All requests for information under the Official Information Act are to be addressed to the Registrar of the University.

## **3. Surveillance**

- a) University of Canterbury has a policy of both University and individual responsibility to ensure all work involving manipulation of animals conforms to the CEC.
- b) All people carrying out manipulations on animals are required to notify the Animal Ethics Committee immediately of any untoward or unexpected reaction or deaths during experimental procedures.
- c) The AEC or its nominee has the authority to inspect animals, their accommodation, or experimental records at any time to be sure that procedures are being properly carried out.
- d) The AEC will visit all animal facilities at University of Canterbury every six months. The University Veterinarian also independently visits and inspects animal facilities.

## Appendix 2

### **Complaints Procedures**

- a) 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, teachers, students or members of the AEC, including the chairperson.
- b) Complaints are considered to be either Emergency or Non-emergency. Complaints considered an emergency are those in which animal welfare is jeopardized and the situation must be resolved immediately. Non-emergency complaints are all other complaints in which animal welfare is not immediately compromised.

#### **Dealing with Complaints Categorized as Emergencies**

- i. Complaints considered emergencies are defined as those in which animal welfare is jeopardized. This may be the result of inadequate care of the animal such that the animal no longer meets the criteria of BAR (bright, alert and responsive) in situations in which it would be expected, or when an animal is being subjected to protocols not approved by the AEC. In some cases, previously approved protocols may lead to unanticipated levels of suffering that may require a new reassessment by the AEC.
- ii. All emergency complaints are to be directed to the Chair of the AEC (or to the Deputy Chair in her/his absence).
- iii. The chair (and one other member of the AEC) will then immediately investigate the complaint, which may include an unannounced visit to the animal facility 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.
- iv. The chair will report to the AEC the outcome of the emergency complaint for further action if warranted. Reinstatement of suspended protocols will occur upon consideration of the AEC. The AEC may also consider whether Disciplinary measures are required. Such a process would follow the University of Canterbury Policy on Disciplinary Procedures.

#### **Dealing with Complaints Categorised as Non-emergencies**

- i. Complaints considered as non-emergencies are defined as those in which animal welfare is not jeopardized. This may include complaints against decisions made by the AEC or personnel, including members of the AEC. One likely example is the refusal of the AEC to sanction an application and the applicant lodges a formal complaint.
- ii. All non-emergency complaints are to be directed to the Chair of the AEC (or to the Deputy Chair in her/his absence). 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 part to address the AEC and to discuss the source of disagreement.
- iii. Complaints against the chair will follow normal University procedures by lodging a formal complaint to the Registrar.

- iv. Procedures for dealing with complaints will follow the University of Canterbury Policy document of Grievance Procedures.

## UNIVERSITY OF CANTERBURY

### APPLICATION FOR USE OF ANIMALS IN RESEARCH

[Form modified October 2007]

*This form is required for all experimental work, capture, containment and obtrusive observational work on animals. The Animal Ethics Committee (AEC) is required to minimise the use of animals as well as reduce, avoid, or ameliorate the pain, suffering, and death of animals used in Teaching and Research at the University of Canterbury. Applicants are advised to refer to the Animal Welfare Act 1999 and Animal (Records and Statistics) Regulations 1999. This form must be written in language that is understandable to the entire Animal Ethics Committee, including the lay members of the committee.*

*“Animals” means:*

- (i) any live mammal including a marine mammal (but does not include human being);*
- (ii) any live bird;*
- (iii) any live reptile or amphibian;*
- (iv) any live fish, octopus, squid, crab, lobster, or crayfish;*
- (v) any other animal that is declared by the Governor-General by Order in Council.*

*Please send SEVEN copies of the completed form, signed by the applicant and supervisor and the Head of Department, and any relevant documentation to the Secretary of the Animal Ethics Committee, Level 6, Registry.*

**I(We) the undersigned have read and understood the Code of Ethical Conduct and the appendices under which the University of Canterbury Animal Ethics Committee operates. All applicants must also successfully complete an on-line exam on the use of Animals in Research, Testing, and Teaching. A study manual and copy of the exam are available on the Animal Ethics webpage or by contacting the Secretary of the AEC directly.**

If the application is approved I (We) agree to

- (i) If a protocol needs to be changed an application for Amendment to Approved Protocols (available from AEC webpage or secretary) will be resubmitted to the Animal Ethics Committee for their approval.*
- (ii) Inform the AEC immediately in writing if unanticipated problems eventuate that could be an offence under the Animal Welfare Act 1999.*
- (iii) Furnish annual returns to my Departmental Representative on the Animal Use Statistics form. These records are to be retained by the University for ten years after the year to which they relate. The Department will be contacted by the Secretary of the Animal Ethics Committee when these statistics are required for collation and reporting to MAF.*
- (iv) Obtain approval from DOC, Ngai Tahu or other iwi as appropriate if the work involves protected indigenous species*
- (v) Complete a final report upon completion of the project using the Final Report on Project form available from the AEC webpage or secretary.*

Please note that in some circumstances applicants may be required to appear before the AEC to answer questions.

Signature of applicant(s): \_\_\_\_\_ Date: \_\_\_\_\_

HOD Support: Signature of the Head of Department: \_\_\_\_\_ Date: \_\_\_\_\_

**Office use:** Date received: \_\_\_\_\_ Date approved/declined: \_\_\_\_\_

- 1. Name(s) of applicant(s):**  
**Level of Study/Degree Sought:**  
**Contact address:**  
**Phone:**  
**Email:**

**Supervisor's Name(s):**  
**Position(s):**  
**Contact Phone:**  
**Email:**

- 2. Title of project:**

- 3. Purpose of the Research:**

*Please provide a **LAY** summary of the proposed research using non-technical language (include a glossary of any technical terms that must be included). This purpose must be understandable to anyone, inside or outside the University. Proposals without an appropriate lay summary cannot be approved.*

- 4. Reasons for the Research**

a) What is the scientific reason(s) for this work?

b) Will your project repeat similar work in the literature?

c) How will the results be used (e.g. thesis, publication, teaching)?

**5. Number and Species to be used:**

<b>Number</b>	<b>Species</b>

**6. Provide a justification for the number of animals needed for your study (e.g., explain the number of treatment and control groups, how many animals are in each group, and how you arrived at these numbers; when appropriate use power analyses or statistical calculations to estimate sample sizes required).**

**7. Explain how you have attempted to reduce the number of animals, replace the use of animals with other methods, and refine your experiments to gain additional information in the planning of this work. This is the 3R's of animal ethics and each point needs to be carefully considered and addressed.**

**8. Describe the procedure(s) requiring approval from the Animal Ethics Committee. If more than one procedure is proposed, please list the procedures and describe each one.**

**9. For each of the procedures listed in part 8, indicate its likely severity according to the following scale (taking into account the effect of any anaesthetic, analgesic, euthanasia technique, or other strategy or practice that is applied or used, or any other step taken, to avoid or alleviate the stress or pain caused to the animal). Use the table to list each procedure and its grading (add more rows for additional procedures).**

The grading scale is:

- No suffering **O** (a manipulation that causes no stress or pain or virtually no stress or pain)
- Little suffering **A** (a manipulation that causes stress or pain, of a minor intensity for a short duration)
- Moderate suffering **B** (a manipulation that causes stress, or pain, of a moderate intensity for a short duration, or of a minor intensity for a long duration)
- Severe suffering **C** (a manipulation that causes stress, or pain, of a moderate intensity for a long duration, or of severe intensity for a short duration)
- Very severe suffering **X** (a manipulation that causes stress, or pain, of a severe intensity for a long duration, or of a very severe intensity for any duration)

Procedure	Severity grading

**10. Describe why alternative methods (non-invasive, not involving the death of an animal, etc) are not available, or suitable:**

**11. All studies should have an endpoint, or a series of conditions (e.g. time an animal is subjected to a treatment) under which the animal will no longer be subjected to a**

**protocol and you consider the experiment completed. What are the endpoints of your study for each of the procedures listed in part 8?**

**12. Where are the animals to be held and the experiments performed?**

**13. List the relevant qualifications and experience of applicants for carrying out all of the procedures listed in part 8:**

**14. If applicable give details of anaesthetic procedure and post-operative care and/or method of euthanasia. Include information on choice of anaesthetic, dose rate, how anaesthetics will be administered, methods of maintaining sterility, monitoring of animal during and post anaesthesia and procedures for dealing with any potential complications.**

**15. What will happen to the animals once the project has been completed?**

**16. Start date of project:**

**Completion date of project:**

Applicants are reminded that any amendments to approved protocols (including extension to date of completion must be approved by the Animal Ethics Committee.

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**Approval:**

**Approved (Chair, Animal Ethics Committee)**

**Date:**

**Any Special conditions applying:**

UNIVERSITY OF CANTERBURY  
**APPLICATION FOR USE OF ANIMALS IN TEACHING**  
 [Form modified October 2007]

*This form is required for all experimental work, capture, containment and obtrusive observational work on animals that will be used in teaching. The Animal Ethics Committee (AEC) is required to minimise the use of animals as well as reduce, avoid, or ameliorate the pain, suffering, and death of animals used in Teaching at the University of Canterbury. Applicants are advised to refer to the Animal Welfare Act 1999 and Animal (Records and Statistics) Regulations 1999. This form must be written in language that is understandable to the entire Animal Ethics Committee, including the lay members of the committee.*

*“Animals” means:*

- (i) any live mammal including a marine mammal (but does not include human being);*
- (ii) any live bird;*
- (iii) any live reptile or amphibian;*
- (iv) any live fish, octopus, squid, crab, lobster, or crayfish;*
- (vi) any other animal that is declared by the Governor-General by Order in Council.*

*Please send SEVEN copies of the completed form, signed by the applicant and supervisor and the Head of Department, and any relevant documentation to the Secretary of the Animal Ethics Committee, Level 6, Registry.*

**I(We) the undersigned** have read and understood the Code of Ethical Conduct and the appendices under which the University of Canterbury Animal Ethics Committee operates. All applicants must also successfully complete an on-line exam on the use of Animals in Research, Testing, and Teaching. A study manual and copy of the exam are available on the Animal Ethics webpage or by contacting the Secretary of the AEC directly.

If the application is approved I (We) agree to

- (i) If a protocol needs to be changed an application for Amendment to Approved Protocols (available from AEC webpage or secretary) will be resubmitted to the Animal Ethics Committee for their approval.*
- (ii) Inform the AEC immediately in writing if unanticipated problems eventuate that could be an offence under the Animal Welfare Act 1999.*
- (iii) Furnish annual returns to my Departmental Representative on the Animal Use Statistics form. These records are to be retained by the University for ten years after the year to which they relate. The Department will be contacted by the Secretary of the Animal Ethics Committee when these statistics are required for collation and reporting to MAF.*
- (iv) Obtain approval from DOC, Ngai Tahu or other iwi as appropriate if the work involves protected indigenous species*

Please note that in some circumstances applicants may be required to appear before the AEC to answer questions.

Signature of applicant(s):

Date:

HOD Support: Signature of the Head of Department:

Date:

**Office use:** Date received:

Date approved/declined:

1. **Name(s) of applicant(s):**  
**Position(s):**  
**Department:**  
**Contact Address:**  
**Contact Phone:**  
**Contact Email:**
2. **Course title and number:**
3. **Title of the exercise. Please attach a copy of the lab hand-out and/or instructions to students.**

4. **Number and Species to be used:**

<b>Number</b>	<b>Species</b>

5. **Provide a justification for the number of animals needed for your teaching exercise (e.g., explain the number of treatment and control groups, how many animals are in each group, and how you arrived at these numbers).**
6. **Explain how you have attempted to reduce the number of animals, replace the use of animals with other methods, and refine your use of animals during the planning of this teaching exercise. This is the 3R's of animal ethics and each point needs to be carefully considered and addressed.**

7. Describe the procedure(s) requiring approval from the Animal Ethics Committee. If more than one procedure is proposed, please list the procedures and describe each one.

8. For each of the procedures listed in part 7, indicate its likely severity according to the following scale (taking into account the effect of any anaesthetic, analgesic, euthanasia technique, or other strategy or practice that is applied or used, or any other step taken, to avoid or alleviate the stress or pain caused to the animal). Use the table to list each procedure and its grading (add more rows for additional procedures).

The grading scale is:

- No suffering **O** (a manipulation that causes no stress or pain or virtually no stress or pain)
- Little suffering **A** (a manipulation that causes stress or pain, of a minor intensity for a short duration)
- Moderate suffering **B** (a manipulation that causes stress, or pain, of a moderate intensity for a short duration, or of a minor intensity for a long duration)
- Severe suffering **C** (a manipulation that causes stress, or pain, of a moderate intensity for a long duration, or of severe intensity for a short duration)
- Very severe suffering **X** (a manipulation that causes stress, or pain, of a severe intensity for a long duration, or of a very severe intensity for any duration)

Procedure	Severity grading

9. The educational value of this exercise.



**Approved (Chair, Animal Ethics Committee):**

**Date:**

**Special conditions applying:**

## UNIVERSITY OF CANTERBURY

### APPLICATION FOR AMENDMENT TO APPROVED PROTOCOLS

[Form created October 2007]

*This form is required for all proposed minor amendments to experimental work, capture, containment and obtrusive observational work on animals that has already been approved by the Animal Ethics Committee (AEC). New projects or substantial changes to previous applications must submit a full application. Applicants are reminded that the AEC is required to minimise the use of animals as well as reduce, avoid, or ameliorate the pain, suffering, and death of animals used in Teaching and Research at the University of Canterbury. Applicants are advised to refer to the Animal Welfare Act 1999 and Animal (Records and Statistics) Regulations 1999.*

*Please send an electronic copy of the completed form to the Secretary of the Animal Ethics Committee, Level 6, Registry.*

Name(s) of applicants:

Department/School:

Email:

Number of application for which amendments requested:

Title of application for which amendments requested:

Please describe changes requested to approved protocols:

- a) Are additional animals to be used? If so, what is the number of additional animals to be manipulated, and what is the total number for the entire project (i.e. number previously approved plus the current number requested):
  
- b) Describe the proposed changes to previously approved manipulations or new manipulation requested. Please describe changes to proposed procedures including changes in equipment, duration of experiments, changes in diet, changes in surgical procedures, etc. Please note that changes in the use of restricted drugs will require approval from the University Veterinarian. Use as much space as required.

- c) Describe the change in grading of suffering as a result of proposed change in manipulation. List each procedure for which you are requesting changes in the table below and give both the previous grading and new grading (add additional lines as needed):

The grading scale is:

- No suffering **O** (a manipulation that causes no stress or pain or virtually no stress or pain)  
 Little suffering **A** (a manipulation that causes stress or pain, of a minor intensity for a short duration)  
 Moderate suffering **B** (a manipulation that causes stress, or pain, of a moderate intensity for a short duration, or of a minor intensity for a long duration)  
 Severe suffering **C** (a manipulation that causes stress, or pain, of a moderate intensity for a long duration, or of severe intensity for a short duration)  
 Very severe suffering **X** (a manipulation that causes stress, or pain, of a severe intensity for a long duration, or of a very severe intensity for any duration)

<b>Procedure</b>	<b>Previous grading</b>	<b>New grading</b>

- d) What is the justification for the changes proposed in part b? Please provide justification for changes to number of animals to be used as well as the scientific reasons for the proposed changes in protocols described in part b:

- e) Expected date of completion of amended project (please justify any changes from the original completion date):

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**Approval:**

**Amendments Approved (Chair, Animal Ethics Committee):**

**Date:**

**Any Special conditions applying:**

UNIVERSITY OF CANTERBURY

**FINAL REPORT ON PROJECT TO ANIMAL ETHICS COMMITTEE**

[Form created October 2007]

*This form is required upon completion of all approved applications from the Animal Ethics Committee (AEC) to work on animals. The purpose is to provide the AEC with a record of your use of animals and what was achieved by your research project. We are very much interested in your findings and to learn what you have achieved.*

*Please send an electronic copy of the completed form to the Secretary of the Animal Ethics Committee, Level 6, Registry.*

Name(s) of applicants:

Department/School:

Email:

Number of application:

Title of application:

What was the total number of animals used in your project?

Summarise (in lay terms) the main findings of your study and what you view as its contribution to your discipline:

What outputs have resulted from this work (i.e., theses, publications, research seminars, conference presentations, etc.).

Thank you for your cooperation.