**CODE OF ETHICAL CONDUCT / HE TIKANGA MAHI MATATIKA**

**For the Use of Animals in Research, Testing and Teaching / Mō te whakamahi i te kararehe ki roto i te Rangahau, te Whakamātautau me te Whakaako**

**APPLICATION PACK / KŌPAKI TONO**

This pack includes:

* Application form
* Code of ethical conduct template
* Feedback form

**APPLICATION FORM / PUKA TONO**

This application form must be completed and submitted alongside your draft code of ethical conduct (CEC). It captures critical information regarding the applicant and the CEC.

**Applicant Information / He mōhiohio mō te Kaitono**

1. Full legal name of the applicant

2. Full name of the individual ultimately responsible for administration of the CEC

3. Name and designation of the individual completing this form

**Organisation Information / He mōhiohio mō te Whakahaere**

4. The location/s where research, testing and teaching (RTT) activities will take place. If multiple locations will be used, please specify the main site and give a brief explanation regarding the other locations.

5. Postal address

6. Email

7. Phone

8. A brief summary of the general nature and extent of the RTT activities to be undertaken by the applicant.

9. Qualifications of the applicant or the qualifications and types of staff employed or engaged by the applicant to undertake RTT activities.

10. Does the applicant or senior staff of the organisation have any convictions against the Acts specified in [section 89(1)(c)](https://www.legislation.govt.nz/act/public/1999/0142/latest/DLM51211.html?search=sw_096be8ed81d3ba07_89_25_se&p=1&sr=1) of the Animal Welfare Act 1999? If yes, please describe the circumstances surrounding the conviction.

**Approval Period / Te Wā Tuku Whakaae**

11. State the approval period that is sought for this CEC (maximum five years)

**Independent References / He Taunakitanga Motuhake**

12. Under [section 89(2)](https://www.legislation.govt.nz/act/public/1999/0142/latest/DLM51211.html)(b) of the Animal Welfare Act 1999, every application for a CEC must include evidence, in the form of independent references and appropriate qualifications, that the applicant, or individuals employed or engaged to do the work, have the capability, skills and experience to carry out of the type of RTT to which the application relates.

Examples may include reference letters from individuals independent of your organisation, curriculum vitae of staff or personnel (including organisational members of the animal ethics committee).

Please include reference material when you submit this application.

Signature of applicant

Date

**CODE OF ETHICAL CONDUCT TEMPLATE/ He Tātauira mō te Tikanga Mahi Matatika** [delete upon completion]

[Organisation or individual name]

CODE OF ETHICAL CONDUCT

For the Use of Animals in Research, Testing and Teaching (section 88 of the Animal Welfare Act 1999)

[approval date range – to be populated by the Ministry for Primary Industries (MPI)]

Instructions & Guidance:

Note - This code of ethical conduct (CEC) must contain sufficient information to be a stand-alone document. As such, critical information must be included in the document itself and not referenced in other documents (with the exception of things like organisational policies and forms).

* Use this template to write your CEC.
* Please retain the section layout and structure of the template.
  + Do not remove any section headings from the document. If not relevant to your organisation, you may leave the section blank or provide a short explanation as to why it is not relevant.
  + If you include information in a different section compared to the template please reference this in the relevant section.
  + Include additional sub-headings if required and follow the numbering format.
  + Retain black text that has been provided throughout the template.
  + After you have filled out the template:
    - delete all blue text from the final document,
    - update the table of contents.
* Reference the following documents when preparing your draft CEC:
  + [NAEAC Good Practice Guide](https://www.mpi.govt.nz/dmsdocument/33585-Good-Practice-Guide-for-the-use-of-animals-in-research-testing-and-teaching) for the use of animals in research, testing and teaching.
  + [Animal Welfare Act 1999](https://www.legislation.govt.nz/act/public/1999/0142/latest/DLM49664.html) and the [Animal Welfare (Records & Statistics) Regulations 1999](https://legislation.govt.nz/regulation/public/1999/0392/latest/whole.html) for sections referenced throughout this document.
* Please send your completed application to [animal.welfare@mpi.govt.nz](mailto:animal.welfare@mpi.govt.nz).

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# 1. Background on the Activities of the Code Holder / He Kōrero Whakamārama mō ngā Mahi a te Kaipupuri i te Tikanga

([Section 89](https://www.legislation.govt.nz/act/public/1999/0142/latest/DLM51211.html) and [Section 93](https://www.legislation.govt.nz/act/public/1999/0142/latest/DLM51216.html) of the Animal Welfare Act 1999)

## 1.1 Organisational Activities / Ngā Mahi a te Whakahaere

[Briefly outline the purpose and the research, testing and teaching (RTT) activities of the code holder. If the code holder only undertakes a subset of these activities (e.g., only research and teaching) this should be explicitly stated.]

## 1.2 RTT and Te Tiriti o Waitangi Obligations and Principles / Te Rangahau, Te Whakamātautau me te Whakaako (RTT) me ngā Herenga me ngā Mātāpono o Te Tiriti o Waitangi

[The National Animal Ethics Advisory Committee (NAEAC) is committed to upholding the principles of partnership, participation and protection implied by the Treaty of Waitangi. The Treaty principles are not specific to the use of animals in RTT, but they provide general obligations and considerations of relevance for all those working in RTT in Aotearoa New Zealand. In the context of its statutory role relating to CECs ([section 63](https://www.legislation.govt.nz/act/public/1999/0142/latest/DLM50477.html) (d), (e) and (f) of the Animal Welfare Act 1999), NAEAC strongly recommends that code holders describe how their organisation will uphold the Treaty principles as relevant to animal use in RTT.

Include a statement outlining the code holder’s strategy for upholding the principles of the Treaty of Waitangi in relation to animals used in RTT. NAEAC encourages code holders to engage with cultural advisers when preparing this statement. Examples can be found in other code holders’ CECs; these are available for reference on the relevant code holder’s website (e.g., University of Auckland, Massey University). Statements will vary between code holders. This reflects differences in the type, location and the impact of the work on tangata whenua as well as who conducts the work and which animal species are used.

NAEAC also encourages code holders to address and incorporate relevant reference to the Treaty principles throughout the CEC.]

## 1.3 The 3 Rs / Ngā R e 3

[Describe the code holder’s philosophy toward RTT and their approach to the implementation of the 3 Rs.]

## 1.4 Responsible Individuals / Ngā Tāngata Takitahi e Whai Takohanga ana

[Describe the individual/s who will be responsible for administering the code of ethical conduct. Example wording is provided below – amend as appropriate for your organisation.]

The [code holder’s name] (“Code Holder”) is ultimately responsible for the administration of the CEC. In practice, they may choose to delegate the day-to-day administration to relevant personnel within the organisation. The responsible individual/s for this code of ethical conduct is/are [title or position/s].

## 1.5 Individuals/Organisations under the CEC /

## Ngā Tāngata Takitahi / Ngā Whakahaere i roto i Te Tikanga Mahi Matatika

[Describe the individuals and/or organisations to whom the CEC applies. This should include generic reference to relevant personnel as relevant to the code holder (e.g., staff, students, parented organisations).]

# 2. Functions, Powers and Membership of the Animal Ethics Committee (AEC) / Ngā Kawenga, Ngā Mana me te Noho Mema ki te Komiti Matatika Kararehe (AEC)

## 2.1 Functions and Powers of the AEC / Ngā Kawenga me Ngā Mana o te Komiti Matatika Kararehe (AEC)

[Specify the functions and powers of the AEC as outlined in [section 99](https://www.legislation.govt.nz/act/public/1999/0142/latest/DLM51224.html?search=sw_096be8ed81d3ba07_99_25_se&p=1&sr=1) of the Animal Welfare Act 1999. Please include the text below and supplement with additional information.]

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

(1) 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:

(c) to set, vary, and revoke conditions of project approvals:

(d) to monitor compliance with conditions of project approvals:

(e) to monitor animal management practices and facilities to ensure compliance with the terms of the code of ethical conduct:

(f) to consider and determine applications for the renewal of project approvals:

(g) to suspend or revoke, where necessary, project approvals:

(h) to recommend to the code holder amendments to the code of ethical conduct.

(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 / Te Noho Mema ki te Komiti Matatika Kararehe (AEC)

[Specify that the AEC will consist of a minimum of four statutory members ([section 101](https://www.legislation.govt.nz/act/public/1999/0142/latest/DLM51226.html?search=sw_096be8ed81d3ba07_99_25_se&p=1) of the Animal Welfare Act 1999) in addition to other members (include maximum number) appointed by the code holder. Please include the text below and supplement with additional information.]

*Statutory members*

* The code holder or, if the code holder is an organisation, a senior representative of the company/organisation appointed by the chief 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 [organisation name], or associated with the scientific community or an animal welfare agency

[Specify how external statutory members will be remunerated. This should include preparation and attendance of meetings as well as other activities like monitoring visits.]

*Organisational members*

[Specify information for organisational members including requirements around qualifications, experience and capability of evaluating applications.]

*Additional members*

[Describe how, why and when additional members or advisers (including animal welfare officers) may be utilised by the AEC. Clearly state if these individuals are full members of the committee (i.e., participate in the work of the committee including decision making) or not. Also include information regarding remuneration for those not employed by the code holder.]

## 2.3 AEC Appointment Procedures / Ngā Tukanga Kopou Mema ki te Komiti Matatika Kararehe (AEC)

*Members, Chair/Deputy Chair*

[Describe the appointment process for members of the AEC, the chair and the deputy chair.]

*Term of Appointment*

[Specify the term of appointment as well as the code holder’s policy regarding maximum number of consecutive terms.]

*Reappointments*

[Describe the reappointment process for members of the AEC, the chair and the deputy chair.]

*Vacancies*

[Describe how vacancies and unexpected/prolonged absences are managed including how these absences are defined ([section 101](https://www.legislation.govt.nz/act/public/1999/0142/latest/DLM51226.html?search=sw_096be8ed81d3ba07_99_25_se&p=1) of the Animal Welfare Act 1999).]

*Induction and Training*

[Describe how new members of the AEC are inducted and trained (including the resources that are provided to them). Also describe how current members are provided with opportunities for upskilling/ongoing development.]

# 3. AEC Standard Processes / Ngā Hātepe Whakahaere a te Komiti Matatika Kararehe (AEC)

## 3.1 General / He Hātepe Whānui

*Protection of AEC Members*

[Include information from [section 104](https://www.legislation.govt.nz/act/public/1999/0142/latest/DLM51229.html?search=sw_096be8ed81d3ba07_99_25_se&p=1) of the Animal Welfare Act 1999 regarding the protection of AEC members.]

*Conflict of Interest*

[Specify how conflicts of interest are identified and managed.]

*Confidentiality*

[Specify how confidentiality and protection of confidential information is managed. This should relate to the sections that outline procedures for applicants and members of the public who may attend AEC meetings.]

## 3.2 Meeting Procedures / Ngā Tukanga Hui

*Scope of AEC Meeting*

[Describe the scope of the AEC meeting. Please include the text below and supplement with additional information as relevant.]

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 (including linked approvals (e.g., ACVM, DOC)
  + Modifications to approved applications
  + Interim & final project reports
  + Standard operating procedures
  + Adverse events
  + Non-compliances
  + Monitoring reports
  + Complaints

*Frequency of Meetings*

[Specify the number of meetings per year and the amount of notice that is given to AEC members regarding meeting time and place.]

*Circulation of Meeting Papers*

[Specify who distributes the meeting paper pack as well as when and how meeting documents are distributed to AEC members. This section should also include the minimum time prior to the meeting when documents are available to AEC members to ensure they have sufficient preparation time.]

*Quorum*

[Specify the quorum for the AEC meeting. This should include at least 50% of the members +1 more member. For the quorum to be met, two of the quorum should be external statutory members.]

*Decision Making*

[Specify how decisions are made. Decisions should be made by consensus and it should be specified how the AEC manages situations where consensus cannot he reached.]

*Effective Input of Committee Members*

[Specify how all members are supported/resourced and given opportunities to provide feedback to ensure they can have effective input into AEC discussions. This is particularly important for external statutory members and should be actively facilitated by the chair.]

*Online Meetings*

[Specify how online meetings (or use of an online joining option as part of a hybrid meeting) are managed. Teleconferencing should only be used as a last resort if an individual is not able to attend in person or join the online meeting.]

*Establishment and Membership of Sub-Committees*

[Specify how sub-committees are established and used by the AEC. This should include information regarding decision making; if subcommittees make decisions they should include two external statutory members. Decisions made by a sub-committee should be reviewed at the next AEC meeting and ratified by the full AEC.]

*Meeting Attendance by Other Parties*

[Specify how visitor attendance is managed during the AEC meeting. This should include information regarding applicants and members of the public. This section should tie into the section on confidentiality.]

## 3.3 Consideration Between Meetings / Te Whai Whakaaro ki te Take ki Waenga i ngā Hui

[Specify how the AEC will manage matters that arise between scheduled meetings. This should include how decisions are made and link to the section on sub-committees if these are used for this purpose.]

## 3.4 Secretarial Support / Te Tautoko a te Ringa Āwhina

[Specify how secretarial support to the AEC is managed including role competencies and responsibilities ([section 102](https://www.legislation.govt.nz/act/public/1999/0142/latest/DLM51227.html?search=sw_096be8ed81d3ba07_99_25_se&p=1) of the Animal Welfare Act 1999). This should also include information regarding organisation of the meetings, setting the agenda and who records and keeps the minutes.]

## 3.5 Record Keeping Requirements / Ngā Herenga Whakataimau Pūranga

*Information Management*

[Specify how all AEC documentation will be maintained so that the requirements in the [Animal Welfare (Records and Statistics) Regulations 1999](https://legislation.govt.nz/regulation/public/1999/0392/latest/whole.html) can be met. Describe how all meeting minutes, decisions, operations and records are stored and maintained. Describe how security/access to this information is managed. Specify the minimum period that these records will be stored and how they will be destroyed at the end of this period.]

*Animal Use Statistics*

[Describe how animal use statistics are collated (by species) and that they will be provided to MPI each year by 28 February as required under the [Animal Welfare (Records & Statistics) Regulations 1999](https://legislation.govt.nz/regulation/public/1999/0392/latest/whole.html). If parenting arrangements are permitted, specify that parented organisations are responsible for submitting their own animal use statistics to MPI.]

# 4. AEC Technical Processes / Ngā Hātepe Hangarau a te Komiti Matatika Kararehe (AEC)

## 4.1 Consideration of Applications by the AEC / Tā te Komiti Matatika Kararehe (AEC) Tirotiro i ngā Tono

*Criteria for Consideration*

[Describe how the AEC will ensure that applications meet the criteria set out in [section 100](https://www.legislation.govt.nz/act/public/1999/0142/latest/DLM51225.html?search=sw_096be8ed81d3ba07_99_25_se&p=1) of the Animal Welfare Act 1999. This should include mention of a standard application form that is used by the organisation as well as organisations with arrangements to use the CEC.]

*Impact Grading*

[Describe the impact grading system that is used when considering applications. Guidance can be found in the MPI document [Animal Use Statistics](https://www.mpi.govt.nz/dmsdocument/1477-Animal-Use-Statistics-Guidance-for-Completing-Statistical-Returns).]

*Outcomes after Consideration*

[Describe the possible outcomes after the AEC has considered an application regarding approval, requirements for revisions and resubmissions, or rejection (including when work can commence). This section should also describe how decisions are recorded and communicated to the applicant.]

*Conditions of Approval*

[Specify how the AEC will set and manage conditions for application approvals.]

*Maximum Approval Period*

[Specify the maximum approval period for an application and that ongoing projects require a new application to be submitted to the AEC for consideration prior to the approval expiry date.]

*Power to Suspend, Revoke and Vary Approvals*

[Describe under what circumstances the AEC will exercise the power to suspend, revoke or vary approvals or conditions of approval ([section 99](https://www.legislation.govt.nz/act/public/1999/0142/latest/DLM51224.html?search=sw_096be8ed81d3ba07_99_25_se&p=1&sr=1) of the Animal Welfare Act 1999).]

*Modifications to Approved Applications*

[Specify how modifications to approved applications are managed. This section should include information regarding both minor and major modifications (i.e., define what constitutes minor and major modifications and describe the process for managing each of these).]

## 4.2 Standard Operating Procedures considered by the AEC / Ngā Tukanga Whakahaere Whānui e whakaarohia ana e te Komiti Matatika Kararehe (AEC)

[Describe how standard operating procedure (SOPs) will be submitted to the AEC for consideration as they are developed. This section should also include periodic review of SOPs by the AEC. SOPs cover procedures for the care and use of animals, training of staff, standard RTT manipulations (e.g., behavioural testing), as well as the management of animal facilities.]

## 4.3 Amend, Suspend or Revoke the CEC / Ka Whakarerekē, Ka Whakatārewa, Ka Whakakore rānei i te Tikanga Mahi Matatika

[Describe the procedures by which recommendations made by the code holder or AEC are notified to the MPI Director-General for amendment, suspension or revocation of the CEC ([section 95](https://www.legislation.govt.nz/act/public/1999/0142/latest/DLM51218.html?search=sw_096be8ed81d3ba07_99_25_se&p=1) of the Animal Welfare Act 1999). Please include the text below and supplement with additional information (if needed). This section should also include how these changes are communicated to affected stakeholders.]

(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 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.

# 5. Monitoring by the AEC / Tā te Komiti Matatika Kararehe (AEC) Aroturuki

([Section 99](https://www.legislation.govt.nz/act/public/1999/0142/latest/DLM51224.html?search=sw_096be8ed81d3ba07_99_25_se&p=1&sr=1) of the Animal Welfare Act 1999)

[Specify the policies and procedures that set out how the AEC will exercise its powers and obligations to inspect animals, their accommodation, and related experimental records at any time to satisfy itself that approved procedures are carried out appropriately.

Monitoring applies equally to any parented organisations and their approved applications.]

## 5.1 Monitoring during the Approval Period / Te Aroturuki i te Wā Tuku Whakaae

[Describe how the AEC manages ongoing monitoring of approved applications including frequency of monitoring visits (at least annually). Describe how monitoring visits are documented and reported back to the AEC.]

## 5.2 Monitoring by Proxy / Te Aroturuki mā te Tangata ka Tohua

[Describe how monitoring is managed when it is performed by an individual nominated by the AEC. This should include information regarding how these individuals are selected as well as how monitoring visits are documented and reported back to the AEC.]

## 5.3 Monitoring across Impact Grades / Te Aroturuki i te whānuitanga o ngā Paearu Whai Pānga

[Describe how the AEC will monitor all approved applications across all impact gradings (annual monitoring of at least 10% of A-B graded applications and 100% of C-E graded applications).]

## 5.4 Monitoring Specific Manipulations / Te Aroturuki i ngā Rāpoi Whāiti

[Describe the process for monitoring specific manipulations (this may include high impact or new manipulations).]

## 5.5 Monitoring Animal Facilities / Te Aroturuki i ngā Pā Kararehe

[Describe how the AEC will monitor animal facilities for approved applications. Describe the policies and procedures for monitoring including animal facilities for approved applications for parented organisations.]

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

# Ngā takohanga a ngā whakahaere / tāngata takitahi kua whai Tono Kua Whakaaetia e te Komiti Matatika Kararehe (AEC)

## 6.1 Reporting to the AEC / Te Tuku Pūrongo ki te Komiti Matatika Kararehe (AEC)

*Project Reports*

[Describe requirements for interim and final reports and how these are provided to the AEC.]

*End of Approval Grading & Animal Use Statistics*

[Describe how the AEC will be informed regarding the impact gradings of approved applications at the completion of the project. Describe how this information will enable the AEC to compare the actual gradings against those outlined in the application.]

*Non-Compliance*

[Describe requirements for reporting non-compliances.]

*Adverse Events*

[Describe the policies and procedures that ensure adverse events are promptly and appropriately managed in accordance with the [Animal Welfare Act 1999](https://www.legislation.govt.nz/act/public/1999/0142/latest/DLM49664.html). Describe how adverse events will be reported to the AEC and how these are managed to reduce the likelihood of them reoccurring. Expected adverse events should be covered in detail (including their mitigations) in each animal ethics application. This section specifically details information regarding unexpected adverse events that may occur during a project.]

## 6.2 Records Management / Te Whakahaere i ngā Pūranga Kōrero

[Describe how records are maintained for organisations and individuals who have approved applications.]

## 6.3 Appropriate Qualifications / Ngā Tohu Mātauranga e Hāngai Ana

[Specify how the code holder will ensure that RTT work (as well as day to day husbandry and care) is undertaken by appropriately qualified personnel (or under the direct supervision of appropriately qualified personnel).]

## 6.4 Sick and Injured Animals / Ngā Kararehe e Māuiui ana, e Whara ana

[Describe the procedures that are undertaken to ensure that sick or injured animals receive appropriate veterinary care.]

## 6.5 Standard Operating Procedures developed by the Code Holder / Ngā Tukanga Whakahaere Whānui ka whakaritea e te Kaipupuri i te Tikanga

[Describe how standard operating procedures relating to the care and use of animals are developed and reviewed by the code holder. Describe how these are incorporated into applications for consideration by the AEC.]

## 6.6 Management of Animal Facilities / Te Whakahaere i ngā Pā Kararehe

*Policies & Procedures*

[Specify the policies and procedures that ensure that all animal facilities and practices are undertaken to reflect good practice and scientific knowledge (reference relevant codes of welfare issued under [section 75](https://www.legislation.govt.nz/act/public/1999/0142/latest/DLM50491.html?search=sw_096be8ed81d3ba07_75_25_se&p=1&sr=4) of the Animal Welfare Act 1999).]

*Emergency Management*

[Specify the plans and procedures that have been put in place by the code holder to manage the impact on animal welfare that may be caused by emergency events. This should also include information regarding emergency management for parented organisations.]

*Housing of Animals*

[Specify the procedures that are undertaken to ensure animals are housed in such a way that their health and welfare are safeguarded and that undue stress is limited (reference relevant codes of welfare issued under [section 75](https://www.legislation.govt.nz/act/public/1999/0142/latest/DLM50491.html?search=sw_096be8ed81d3ba07_75_25_se&p=1&sr=4) of the AWA 1999).]

*Transportation of Animals*

[Specify the procedures that are undertaken to ensure animals are transported under humane, hygienic conditions (in accordance with the [Code of Welfare for Transport within New Zealand](https://www.mpi.govt.nz/dmsdocument/46015-Code-of-Welfare-Transport-within-New-Zealand)).]

## 6.7 Euthanasia for Tissue Collection / Te Whakamate kia Kohia te Pūtautau

[Describe the procedures that are undertaken regarding euthanasia for the purposes of tissue collection. If your organisation does not collect tissues please state this in this section.]

## 6.8 Rehoming / Te Tuku ki Kāinga Kē

[Describe how animals, where appropriate, may be made available for rehoming.]

# 7. Compliance Breaches & Complaints Procedures / Ngā Tukanga mō te Takahanga Tikanga me ngā Amuamu

([Section 103](https://www.legislation.govt.nz/act/public/1999/0142/latest/DLM51228.html?search=sw_096be8ed81d3ba07_103_25_se&p=1&sr=1) of the Animal Welfare Act 1999)

## 7.1 Compliance Breaches / Ngā Takahanga Tikanga

*Non-Compliance with an AEC Approval*

[Specify how non-compliance with an AEC approval (or any conditions of approval) is managed.]

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

[Specify how minor non-compliances with the [Animal Welfare Act 1999](https://www.legislation.govt.nz/act/public/1999/0142/latest/DLM49664.html) or any other legislation (including regulations) are managed.]

*Major Non-Compliance with Legislation or Regulations*

[Specify how major non-compliances with the [Animal Welfare Act 1999](https://www.legislation.govt.nz/act/public/1999/0142/latest/DLM49664.html) or any other legislation (including regulations) are managed.]

## 7.2 Animal Welfare Complaints / Ngā Amuamu mō te Hauora Kararehe

*By the Public*

[Describe the policies and procedures by which animal welfare complaints made by members of the public will be managed.]

*By Employees*

[Describe the policies and procedures by which animal welfare complaints made by employees of the organisation (or any organisation with an arrangement) will be managed.]

*By AEC Members*

[Describe the policies and procedures by which animal welfare complaints made by AEC members will be managed.]

## 7.3 Procedural Complaints / Ngā Amuamu ā-Tukanga

([Section 103](https://www.legislation.govt.nz/act/public/1999/0142/latest/DLM51228.html?search=sw_096be8ed81d3ba07_103_25_se&p=1&sr=1) of the Animal Welfare Act 1999)

*By Applicants*

[Describe how procedural complaints from an applicant are managed (in accordance with [section 103](https://www.legislation.govt.nz/act/public/1999/0142/latest/DLM51228.html?search=sw_096be8ed81d3ba07_103_25_se&p=1&sr=1) of the Animal Welfare Act 1999).]

*By AEC Members*

[Describe how procedural complaints from any member of the AEC are managed (in accordance with [section 103](https://www.legislation.govt.nz/act/public/1999/0142/latest/DLM51228.html?search=sw_096be8ed81d3ba07_103_25_se&p=1&sr=1) of the Animal Welfare Act 1999).]

*Against the Chair/Deputy Chair/Administrator*

[Describe how procedural complaints (made by AEC members, staff members or the public) that relate to the Chair/Deputy Chair or Administrator are managed.]

# 8. Arrangements for External Parties to Use the CEC and AEC / Ngā Whakaritenga kia Whakamahi ai te Whakahaere Rāwaho i te Tikanga Mahi Matatika (CEC) me te Komiti Matatika Kararehe (AEC)

([Section 84](https://www.legislation.govt.nz/act/public/1999/0142/latest/DLM51205.html?search=sw_096be8ed81d3ba07_84_25_se&p=1&sr=2) of the Animal Welfare Act 1999)

[Where external organisations are permitted to use the CEC and AEC, specify the procedures that are undertaken when these arrangements are made. This should include:

* a description of the internal process undertaken by the organisation (including mention of a formal written agreement);
* notification (by the code holder) in writing to MPI;
* organisations with arrangements are responsible for submitting animal use statistics to MPI;
* organisations with arrangements are responsible for submitting SOPs to the AEC for review (as stated in section 6.5 of this document);
* state that any organisation with an arrangement must comply with this CEC.

If arrangements are not permitted, state this explicitly in this section.]

**FEEDBACK FORM / HE PUKA WHAKAHOKI KŌRERO**

This feedback form is optional. However, both MPI and NAEAC would welcome any feedback you have regarding the CEC application process or the application form and template provided in this application pack.

**Please provide your feedback below / Me tuku mai i ō whakahokinga kōrero ki raro nei:**