



# Animal Use Statistics

7 December 2022

## Animal Use Statistics

Guidance Document: Animal Use Statistics

### About this document

This document has been prepared to assist those who are required to maintain records of animal manipulation and supply statistics to the Ministry for Primary Industries (MPI). It provides information on legal requirements and guidance on how to provide the animal use information required by MPI.

### Related Requirements

- Animal Welfare Act 1999
- Animal Welfare (Records and Statistics) Regulations 1999

### Document history

Version Date	Section Changed	Change(s) Description
November 2022	4.3, 5, 6, Appendix 1	Changes throughout the document to reflect the new statistics collection system
July 2022	7.13	This revised edition supersedes the December 2019 and all earlier editions.
December 2019		This revised edition supersedes the November 2017 and all earlier editions.
November 2017		This revised edition supersedes all earlier editions.

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# 1 Purpose

This guidance document has been issued to accompany the Animal Welfare (Records and Statistics) Regulations 1999 and should be read in conjunction with these regulations.

# 2 Background

## Requirements effective since 1 January 2018

### Animal Welfare Amendment Act 2015

The Animal Welfare Amendment Act (No. 2) 2015 (the Amendment Act) introduced changes to improve the transparency, clarity and enforceability of the Animal Welfare Act 1999 (the Act). This included matters relating to the use of animals in research, testing and teaching. These changes included the expansion of the definition of manipulation under section 3 of the Act and expansion of the definition of research, testing and teaching under section 5 of the Act.

## Requirements effective since 1 January 2019

### Animal Welfare (Records and Statistics) Amendment Regulations 2018

The Animal Welfare (Records and Statistics) Regulations 1999 requires code of ethical conduct holders (code holders) to keep records of the numbers of animals killed that were bred, using any breeding technique for the purposes of research, testing and teaching but that were not used for those purposes.

# 3 Definitions

Refer to Appendix 3: Extracts from the Animal Welfare Act 1999 and Conservation Act 1987.

# 4 Legal requirements

## 4.1 Who must keep records

Every person/organisation who/that:

- has an approved code of ethical conduct; or
- has an arrangement to use a code holder's code and animal ethics committee; or
- has the Minister of Agriculture's approval to carry out animal manipulations in the national interest; or
- has the approval of the Director-General of MPI to carry out research on non-human hominids.

## 4.2 Retention of records

The records that must be kept are set out in the Animal Welfare (Records and Statistics) Regulations 1999. These records must be kept for a period of five years after the end of the year to which they relate.

## 4.3 Annual returns

Every person/organisation who must maintain records is required to submit or have submitted on their behalf to MPI an annual return on or before 28 February each year. This information should be provided via the MPI animal use statistics online platform and include details of the records kept for that year. Upon receipt of information for a code holder, MPI will provide a copy of the information

entered into the system. The code holder will then confirm the information is correct; this fulfils the requirement for 'written returns' as specified in the Animal Welfare (Records and Statistics) Regulations 1999.

Code holders must provide the details of records kept for a project of, or up to, three years' duration, in the annual return made in the year following the year that the project ends. Code holders must provide the details of records kept for a project of more than three years' duration in the annual return made in the year following every third year of the project and, if the term of the project is not divisible by multiples of three years, again in the year following the year that the project ends.

**If no animals have been manipulated or no projects have ended in the preceding year, a nil return must be submitted.**

## 4.4 Additional requests

In addition, the Director-General of MPI or any inspector appointed under the Animal Welfare Act 1999 may require code holders to supply records or details from them within seven days.

## 4.5 Offences and penalties

It is an offence to:

- wilfully fail to keep the required records;
- wilfully fail to retain the required records for the five-year period;
- fail, without reasonable excuse, to make a return on time;
- make a return that is, to the person's knowledge, false or misleading;
- fail, without reasonable excuse, to comply with the Director-General's/an inspector's request; and
- forward, in response to the Director-General's/an inspector's request, records/details that are false or misleading.

The maximum penalty for offences against the Animal Welfare (Records and Statistics) Regulations 1999 is a fine not exceeding \$5,000 for an individual and \$25,000 for a body corporate.

## 4.6 Coverage

Records must be kept for all animals that are manipulated for the purposes of research, testing and teaching.

The terms "animal", "manipulation" and "research, testing and teaching" are all defined in the Animal Welfare Act 1999. These definitions are repeated in Appendix 3: Extracts from the Animal Welfare Act 1999 and Conservation Act 1987.

Organisations/animal ethics committees (AECs) may have additional internal rules requiring ethical approval of such animal use but statistics for such usage must not be included in the annual return to MPI.

## 5 Publication and Privacy

### 5.1 Publication of data

The statistics supplied to MPI are collated for publication as an annual report. The animal use statistics are often the subject of media interest when the report is released.

From 2022 MPI publishes selected database reports on its website. This allows interested parties access to raw data with an aim to improve transparency around animal use statistics. The database reports include the animal usage by institution and animal usage by animal categories. Moving forward, these reports will be published on the MPI website each year alongside the animal use statistics report.

### 5.2 Official Information Act

MPI is subject to the Official Information Act 1982, as are some code holders in their own right.

If MPI receives an Official Information Act request regarding your animal use statistics information we will contact you regarding its release. If you oppose the release of this information then you must provide justification to MPI and this will be considered before a decision is made.

## 6 Institutional returns to MPI

MPI has developed a new system for collecting animal use statistics. It is strongly recommended that you reference the questions (and descriptions) provided in Section 6 and Appendix 1 prior to starting your return(s). The covering email includes a link to the online platform. This information is supplied by MPI and should be completed and submitted (as per the instructions in the link). Submission of returns, including nil returns, by telephone is not acceptable.

Please note that there should be one animal type per return. You do not need to report category D (high impact) and E (very high impact) work in a separate return as was required in previous years. However, if you used animals in the D and/or E impact categories, there is a follow up question where you will need to provide a description of the work that was undertaken for these particular manipulations. This information is included in the annual report published by MPI.

Each institution (either a code holder or a parented organisation) is responsible for its own returns. If parented organisations choose not to submit their own returns, but to have these submitted by their parenting organisation on their behalf, such returns must be clearly and separately identified.

## Statistics Questions

### 6.1 Question 1: Institution Name

Most codes of ethical conduct or arrangements to use a code are held by organisations, so the organisation's full name should be entered here. If the arrangement is for an individual, the individual's name should be entered.

### 6.2 Question 2: Is this a nil return (0 animals used)?

A nil annual return must be submitted in the following circumstances:

- if no animals were used at all; or
- where animals used are required to be reported in a later annual return (see Annual Returns section in Legal Requirements, page 4).

Under these circumstances, please indicate this is a nil return (click 'yes' and then 'next' and the platform will take you to Question 17: Completed by Name and Designation). It is not necessary to complete a nil return form for each type of animal.

If you have any other information that you would like to provide to MPI please enter it in Question 18: Additional Information.

If this is not a nil return, click 'no' and then 'next' and this will take you to the next page to enter your animal use statistics information.

### 6.3 Question 3: Animal Type

The list of animal types can be found in Appendix 2. Please note that while certain types of animals may be grouped together on one page (e.g., all marine mammals or all reptiles), submitters must be able to supply details of the species involved if requested.

### 6.4 Question 4: Source of Animals

Select the category that describes the animals you used.

- **Breeding unit:** An institutional unit dedicated to breeding animals for manipulation.
- **Commercial:** Obtained from a commercial supplier of animals.
- **Farm:** Farm animals obtained from a farm; the farm may be a commercial unit or belong to the institution. Animals such as a pet which happens to live on a farm or wild animals caught on farmland should not be included in this category.
- **Born during project:** Intended for offspring whose birth is part of the project, e.g., lambing or hatching studies.
- **Captured:** Captured in the wild.
- **Imported:** Imported into New Zealand from an overseas source.
- **Public sources:** Public donations, animals obtained from a pound, a pet shop or other public sources. This includes privately owned pets which are 'borrowed' for the duration of the exercise (e.g., veterinary nurse training).

### 6.5 Question 5: Status of Animals

Select the category that best describes the status of the animals you used.

- **Normal/Conventional:** Normal, healthy animals.
- **SPF/Germfree:** Animals reared under conditions in which the presence of disease agents (pathogens) has been controlled, e.g., "Specific Pathogen-Free" (SPF) animals, nematode parasite-free animals, gnotobiotic animals.
- **Diseased:** Animals afflicted with a naturally occurring disease, the focus of study usually being the cause, effects, cure or prevention of the disease.
- **Transgenic/Chimera:** Animals genetically modified by molecular genetic methods.
- **Protected wildlife:** Protected wildlife has the same definition as the definition in the Conservation Act 1987. A permit is required for use of protected wildlife; give your permit number (on back of form). If you have queries about protected and endangered species, consult your local Department of Conservation office.
- **Pregnant:** Animals known to be pregnant.



- **Unborn/Prehatched:** Mammalian foetus in the last half of gestation or prehatched avian or reptilian young in last half of development or marsupial pouch young. (See paragraph (b) and (c) of the definition of animal in section 2(1) of the Animal Welfare Act 1999).
- **Other:** Categories not covered above should be included here.

## 6.6 Question 6: Purpose

Main reasons for manipulation/use – select the category which best suits the purpose of the manipulations (each animal should be counted in one category only).

- **Teaching:** Animals used for teaching or instruction, at any level.
- **Species conservation:** Work directed towards species conservation: the species to be conserved may or may not be directly involved, e.g., nutritional studies using a more common species can benefit an endangered species.
- **Environmental management:** Environmental management including the control of animal pests and research into methods of reducing production of greenhouse gases.
- **Animal husbandry:** Animal husbandry, including reproduction, nutrition, growth, production.
- **Basic biological research:** Research that aims to understanding the workings of living things.
- **Medical research:** Research aimed at improving the health and welfare of humans, but not research on human subjects.
- **Veterinary research:** Research aimed at improving the health and welfare of production and companion animals.
- **Testing:** Animals used for public health testing or to ensure the safety, efficacy or quality of products to meet regulatory requirements for human or animal products, either in New Zealand or internationally.
- **Production of biological agents:** Animals used for raising antibodies or for the supply of blood products.
- **Offspring with compromised welfare:** Animals used for the purpose of producing offspring with compromised welfare. Include the number of breeding animals (sires and dams), using any breeding technique, where the result of that mating produces offspring that may be/are likely to be more susceptible or at greater risk of pain or distress during their lifetime. (Note: do not count the number of offspring that were produced from such matings).
- **Development of alternatives:** Work aimed at developing methods to replace or reduce the use of live animals in research, testing and teaching.
- **Other:** Manipulations for purposes other than those listed above.

## 6.7 Question 7: Re-use of Animals

The objective is to distinguish between animals which are used in a single project, and animals used in more than one project.

As a result:

- **No prior use:** means when an animal is used in one project only;
- **Previously used:** means when an animal is used in more than one project.

## 6.8 Questions 8 and 9: Grading of Manipulations

Question 8 requires information regarding the total number of animals for each category.

Question 9 requires a description of procedures graded D or E.

The purpose of this is to provide an overall estimate of the impact or invasiveness of each animal use by selecting the appropriate grade. The grades must reflect the summed impacts of both the initial

state of the animal and the induced effect of the experimental procedure, not the induced effect alone. The following should be taken into account.

The examples below cover, for each level of impact, the five domains of potential animal welfare compromise introduced by Mellor and Reid in 1994<sup>1</sup>.

Impacts on animals within any one experiment may come from more than one domain. These examples are not exhaustive or definitive, but are a guide only. It should also be noted that, in carrying out a cost-benefit analysis, it may be decided that the impact of a procedure on the animal is so great that it should not proceed, no matter what the potential benefit is. Researchers and AECs should use their knowledge and judgement in determining the impact of procedures on animals.

Grading the manipulation(s) clearly requires a value judgement to be made by the applicant. This is verified subsequently (or amended) by the AEC. The experience of the investigator, and the quality of the environment in which the manipulation is carried out may alter the grading that is selected.

The grading provided in the annual statistics should reflect the actual impact of the manipulation on an animal rather than that proposed prior to the experiment i.e., it should be assessed for each animal at the end of every project. The grades should be applied to individual animals within an experiment rather than to an experiment as a whole.

MPI understands that some inconsistencies may occur when judgements are made on the impacts of procedures on animals. It is expected that an assessment is made in good faith.

## **Counting and grading of new manipulations from 1 January 2018**

### **6.8.1 Killing of animals for the purposes of research, testing and teaching on their body or tissues**

When an animal is killed for the purpose of performing research, testing and teaching on that animal's body or tissues, the manipulation is the killing of the animal and not the subsequent research, testing and teaching activity. Approval to kill animals for these purposes is contingent on the killing being humane. Therefore, a low impact grade is to be assigned, unless the circumstances dictate a method warranting a higher impact grade.

Scope: Killing animals in a wild state (through normal management or non-experimental means) are exempt i.e., generally accepted pest management or fisheries activities are not covered by this definition and do not require AEC approval or reporting to MPI.

### **6.8.2 Breeding or production of offspring with compromised welfare**

This category only applies to the parent/s when breeding or producing animals with compromised welfare. The parent animals must be counted and graded, not the offspring produced. However, animal ethics committees must take into account the subsequent welfare of the offspring produced during the consideration of any project involving this type of manipulation.

Scope: Breeding that is part of normal animal management practice, not for scientific purposes, is not considered a manipulation under this definition, and does not require AEC approval or counting.

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<sup>1</sup> Mellor D, Reid CSW. Concepts of animal well-being and predicting the impact of procedures on experimental animals. In *Improving the well-being of animals in the research environment* (pp 3-18). Sydney, ANZCCART, 1994.

### 6.8.3 Grade A – “No impact or virtually no impact”

Examples:

- **Mental state:** Field observations of grazing behaviour on farms, or benign handling of tame and trained animals which are familiar with all personnel and procedures and with the place where the procedures are conducted.
- **Food/water:** Animals kept outdoors eating their usual food in appropriate amounts; grazing trials on treated pastures; offering supplements to naturally available food; provision of complete, balanced rations to meet all nutritional requirements of animals maintained indoors.
- **Environmental challenge:** Exposure to ambient conditions which are within the thermoneutral range; reduced barometric pressures which do not cause increases in red blood cell production.
- **Disease/injury/functional impairment:** Studies of healthy uninjured animals which are kept in physical conditions which do not themselves lead to injuries such as lameness or compression sores; studies to establish normal characteristics of healthy animals.
- **Behaviour:** Studies of wild or undomesticated animals in their natural habitats; field studies of domesticated animals.

### 6.8.4 Grade B – “Little impact”. Manipulations of minor impact and short duration.

Examples:

- **Mental state:** Experiments on completely anaesthetised animals which do not regain consciousness; simple venipuncture or venisection; injection of non-toxic substances; skin tests which cause low-level irritation without ulceration/erosion; feeding trained animals by orogastric tube; movement of free-range domesticated animals to unfamiliar housing; minor restrictions of water and/or feed intake beyond the normal period of satiation.
- **Food/water:** Water priming for kidney function tests; short-term overall food intake restrictions or excesses which are within usual tolerance levels for the species; short-term changes in dietary composition which cause no clinical signs of deficiency or toxicity, but which would cause such symptoms in the longer term.
- **Environmental challenge:** Exposure to levels of cold or heat which are outside the thermoneutral range, or barometric pressures which increase red blood cell production, but which remain within the capacity of the animals to adapt and do not lead to debility in the long term.
- **Disease/injury/functional impairment:** Studies of vaccines using killed pathogens; tuberculosis tests; induction of mild fever without other debilitating effects; induction of subclinical parasitism; healing of minor superficial incisions, cuts or wounds; minor surgical and/or pharmacological modification of homeostatic capacity (e.g. creation of non-obstructive gut fistulae; splenectomy; endocrine gland removal with complete and permanent hormone replacement therapy); physical conditions which cause transient lameness of low intensity, mild compression sores or abrasions.
- **Behaviour:** Mild and short-term physical restraint; keeping free-range domesticated animals in a yard; movement of free-range domesticated livestock to unfamiliar housing; operant conditioning with positive reinforcement in barren laboratory environments; benign preference tests in unnatural surroundings.

### 6.8.5 Grade C – “Moderate impact”. Includes manipulations of minor impact and long duration or moderate impact and short duration.

Examples:

- **Mental state:** Recovery from major surgeries like thoracotomy, orthopaedic procedures, hysterectomy or gall bladder removal with effective use of analgesics; surgical procedures on conscious animals but with the use of local anaesthesia and systemic analgesic; movement of excitable free-range domesticated livestock to unfamiliar housing; short term capture, handling

and restraint of wild or semi-domesticated animals that exhibit marked flight responses; moderate restrictions of water and/or feed intake beyond the normal period of satiation.

- **Food/water:** Simulation of usual overall intake restrictions often experienced by pregnant/lactating ruminants during cold winters or drought; dietary induction of milk fever in cattle; induction of mild deficiency or toxicity signs by feeding diets containing inadequate or excessive amounts of essential nutrients.
- **Environmental challenge:** Short-term exposure to severe extremes of cold or heat which would lead to collapse if prolonged.
- **Disease/injury/functional impairment:** Studies of live vaccines; induction of clinical parasitism; induction of mild reversible infectious diarrhoea; moderate surgical and/or pharmacological modification to homeostatic capacity (e.g. limited gut resection; endocrine gland removal with delayed or incomplete hormone replacement therapy); physical conditions which cause minor chronic lameness or other injuries; studies of the effects of infectious or toxic agents that cause rapid death without distress.
- **Behaviour:** Medium-term restrictions of instinctive behaviour; medium-term holding of ruminants in a metabolism crate; long-term restraint leading to the development of reversible stereotypies; changing social group composition.

#### 6.8.6 Grade D – “High impact”. Includes manipulations of moderate impact and long duration or high impact and short duration.

Examples:

- **Mental state:** Recovery from major surgery under anaesthesia without the use of postoperative analgesics; marked social or environmental deprivation; longer term capture, handling, restraint or housing, without the use of tranquilisers, of wild or semi-domesticated animals that exhibit marked flight responses.
- **Food/water:** Dietary induction of advanced pregnancy toxæmia in sheep or ketosis in dairy cattle; dietary induction of advanced signs of nutrient deficiency or excess; severe deleterious effects of dietary toxins; severe restrictions of water and/or feed intake beyond the normal period of satiation.
- **Environmental challenge:** Prolonged exposure to severe cold or heat which would lead to failure of thermoregulation and collapse, but the exposure is terminated just before those outcomes.
- **Disease/injury/functional impairment:** Studies of severe facial eczema; induction of severe diarrhoea or severe infectious pneumonia; protracted or irreversible pharmacological modification of homeostatic capacity (e.g. chemical induction of diabetes mellitus without replacement therapy); marked surgical modification of homeostatic capacity (e.g. extensive gut resection; cutting of sensory or motor nerves serving large areas of the body from which no self-mutilation injury results; precise lesioning of limited areas of the brain but with intervention before collapse); physical conditions which cause moderate chronic lameness or other injuries; studies of the effects of infectious and toxic agents which cause either a protracted death with minor distress or a rapid death with moderate distress.
- **Behaviour:** Application of marked and repeated noxious stimuli from which escape is impossible; prolonged periods (several hours or more) of close physical restraint; marked alterations to the perceptual or motor functions of animals to test consequent behaviour.

#### 6.8.7 Grade E – “Very high impact”. Manipulations of high impact and long duration or very high impact for any duration

Examples:

- **Mental state:** Conducting major surgeries without the use of anaesthesia on control animals in assessing efficacy of analgesics; testing the efficacy of analgesics in animals with severe induced pain.

- **Food/water:** Experiments which cause animals to die from poisoning by toxins in the diet; protracted and severe restrictions on water and/or feed intake.
- **Environmental challenge:** Purposeful exposure of conscious animals to lethal extremes of cold, heat or barometric pressure which duplicate naturally occurring conditions.
- **Disease/injury/functional impairment:** Studies of methods for killing pest animals; cutting of sensory or motor nerves serving large areas of the body from which self-mutilation injury results; evaluation of vaccines where death is the measure of failure to protect; studies of the effects of infectious or toxic agents which cause either a protracted death with marked distress or a rapid death with severe distress.
- **Behaviour:** Application of marked and repeated extremely noxious stimuli from which escape is impossible; prolonged periods (several hours or more) of close physical restraint.

## 6.9 Question 10: Alive

This information records the fates of animals that survived the project. Select the category/categories.

- **Retained:** Kept by the institution carrying out the research, testing and teaching.
- **Returned:** Returned to the original owner of the animals. This includes livestock used in trials which never actually left the farm and were “returned” to the control of the farmer at the end of the study and pets borrowed from pet shops or private owners.
- **Released:** Released to the wild (Note: it is an offence to return some pest species to the wild.)
- **Disposed of:** Delivered or sold to a person for subsequent slaughter such as freezing works or slaughterhouses.
- **Rehomed:** Delivered to a person for rehoming at the end of the study.

Note – Where the “disposed of” and “rehomed” categories are used, code holders are required to record the name and address and number of animals delivered to that person. This information need not be submitted to MPI as a matter of routine but must be available if required.

## 6.10 Question 11: Dead

- **Killed for research, testing and teaching on body or tissues:** this information records the numbers of animals that were killed for the specific purpose of performing research, testing and teaching on their body or tissues. It does not include animals that were killed for another reason (e.g. food production) from which tissues were subsequently collected for research, testing and teaching.
- **Other dead:** records the number of animals that died or were euthanased incidentally for animal welfare or other reasons during the course of, or as an approved manipulation at the end of a project.

## 6.11 Question 12: Total Manipulated

Records the number of animals that were manipulated in the project. The animals in the “total alive” and “total dead” categories must add up to the total manipulated.

## 6.12 Question 13: Total killed that were bred for research, testing and teaching but not used

Records the killing of animals that were bred, but not used, for the purpose of research, testing and teaching. This includes all animals regardless of whether they are:

- healthy or compromised;
- parents or offspring.

## 6.13 Total Numbers

Totals for each question (4-8) must add up to the number in question 12. Totals for questions 10 and 11 must add up to the number in question 12. Question 13 records the new reporting requirement that is not captured anywhere else and stands alone.

## Additional Information

The following questions are optional. MPI and NAEAC would like to understand how your organisation implements that 3 Rs and would be grateful for your responses to these questions. Data from these questions will be collated if it is to be used in the MPI Animal Use Statistics report. It will not identify your organisation.

### 6.14 Question 14: Provide an Example of Replacement

Provide an example of replacement involving the species indicated in Question 3 (Animal Type) from your research, testing and/or teaching work that took place in the last year.

### 6.15 Question 15: Provide an Example of Reduction

Provide an example of reduction involving the species indicated in Question 3 (Animal Type) from your research, testing and/or teaching work that took place in the last year.

### 6.16 Question 16: Provide an Example of Refinement

Provide an example of refinement involving the species indicated in Question 3 (Animal Type) from your research, testing and/or teaching work that took place in the last year.

### 6.17 Question 17: Completed by Name and Designation

For the person filling out the return, include your name and your designation (job title).

### 6.18 Question 18: Additional Information

Please use this question to provide any additional information regarding your return.

## Appendix 1: Sample Questions

According to our records you have a code of ethical conduct or a notified arrangement in place to use another organisation's code. As such, in accordance with regulation 5 of the Animal Welfare (Records and Statistics) Regulations 1999, you are required to submit your annual return of animals manipulated during 2022.

This online platform is used to collect animal use statistics and 3 Rs information. Please complete one return for each species your institution has used this past year to carry out research, testing and teaching activities.

Questions 1 - 13 are mandatory (marked with an asterisk) require information regarding your institution and the animals that have been used in research, testing and teaching activities.

Questions 14 – 16 are optional and request information regarding the implementation of the 3 Rs at your institution during the last year. MPI would like to report on the impact code holders are having in upholding the principles of the 3 Rs. Aggregate 3 Rs data may be included in the annual animal use statistics report (for example, the number of institutions that reported implementing the 3 Rs). However, MPI will consult with code holders before any specific information is shared (for example, describing the implementation of the 3 Rs in a specific project).

Over the 2022 calendar year, please provide examples of how you have demonstrated the principles of the 3 Rs leading to:

- (1) A reduction in the number of animals used (e.g., compared with previous approval periods).
- (2) An active refinement so that “the harm caused to the animals is minimised and the benefits are maximised”.
- (3) Where previous AEC protocols/approvals have been replaced by “non-sentient or non-living alternatives or by imparting the information in another way”.

Question 17 must be completed by the person filling out the return.

Question 18 provides an opportunity to include any additional information.

**Privacy Statement:** The animal use statistics information (questions 1-14) collected on this platform is a legal requirement for any person or organisation that holds a code of ethical conduct to use animals in research, testing and teaching activities. The information will be handled according to the MPI Privacy and Transparency Statement. It will be collated and published on the MPI website in the annual MPI Animal Use Statistics report and as selected aggregate, anonymous datasets (as per MPI consultation with code holders). The information will be stored in a secure MPI database. Code holders may request to view this information and ask that it be changed by contacting the MPI Animal Welfare team. MPI is subject to the Official Information Act 1982, as are some code holders in their own right. If MPI receives an Official Information Act request regarding your animal use statistics information we will contact you regarding its release. If you oppose the release of this information then you must provide justification to MPI and this will be considered before a decision is made.

\* 1. Institution Name

*Provide the institution name in full.*

\* 2. Is this a nil return (0 animals used)?

*Indicate whether you are submitting a nil return or not.*

Yes

No

\* 3. Animal Type

*Select the animal type from the drop-down menu below. If 'other', type the species name into the 'other' field.  
**Please complete one return per species.***

Other (please specify)

\* 4. Source of Animals

*Enter the total number of animals for each category. If no animals were from a particular category then enter '0'. A whole number value must be provided for every field. Please ensure that the total value is correct.*

Breeding unit

Commercial

Farm

Born during project

Captured

Imported into New Zealand

Public sources

TOTAL

\* 5. Status of Animals

*Enter the total number of animals for each category. If no animals were from a particular category then enter '0'. A whole number value must be provided for every field. Please ensure that the total value is correct.*

Normal/Conventional

SPF/germ free

Diseased

Transgenic/chimera

Protected wildlife

Pregnant

Unborn/prehatched

Other

TOTAL



\* 6. Purpose

*Enter the total number of animals for each category. If no animals were from a particular category then enter '0'. A whole number value must be provided for every field. Please ensure that the total value is correct.*

Teaching  
Species conservation  
Environmental management  
Animal husbandry  
Basic biological research  
Medical research  
Veterinary research  
Testing  
Producing biological agents  
Producing offspring compromised welfare  
Development of alternatives  
Other  
TOTAL

\* 7. Re-use

*Enter the total number of animals for each category. If no animals were from a particular category then enter '0'. A whole number value must be provided for every field. Please ensure that the total value is correct.*

No prior use  
Previously used  
TOTAL

\* 8. Grading

*Enter the total number of animals for each category. If no animals were from a particular category then enter '0'. A whole number value must be provided for every field. Please ensure that the total value is correct. If yes, please include a description of the work that was undertaken for each D and/or E manipulation.*

No impact (A)  
Little impact (B)  
Moderate impact (C)  
High impact (D)  
Very high impact (E)  
TOTAL

\* 9. Were any animals recorded as grades D and/or E?

*Indicate whether any manipulations were D and/or E grade. If any were, please provide information regarding the procedures that were undertaken for each D and/or E manipulation. This information will be included in the MPI Animal Use Statistics report.*

Yes  
No

\* 10. Alive

*Enter the total number of animals for each category. If no animals were from a particular category then enter '0'. A whole number value must be provided for every field. Please ensure that the total value is correct.*

Retained (by your institution)  
Returned (to owner)  
Released (to the wild)  
Disposed of (to others e.g., works)  
Rehomed (to others)  
TOTAL

\* 11. Dead

*Enter the total number of animals for each category. If no animals were from a particular category then enter '0'. A whole number value must be provided for every field. Please ensure that the total value is correct.*

Killed to use body or tissues  
Other dead  
TOTAL

\* 12. Total manipulated

*Enter the total number of animals that were manipulated. This total should match the totals from questions 3-7.*

\* 13. Total killed that were bred for research, testing and teaching but not used

*Enter the total number of animals that were bred for research, testing and teaching but not used for these purposes and subsequently killed.*

14. 3 Rs - Provide an example of **replacement** involving the species indicated in question 3 from your research, testing and/or teaching work that took place in the last year.

*This information will be collated and included in the MPI Animal Use Statistics report. It will not identify you or your organisation.*

15. 3 Rs - Provide an example of **reduction** involving the species indicated in question 3 from your research, testing and/or teaching work that took place in the last year.

*This information will be collated and included in the MPI Animal Use Statistics report. It will not identify you or your organisation.*

16. 3 Rs - Provide an example of **refinement** involving the species indicated in question 3 from your research, testing and/or teaching work that took place in the last year.

*This information will be collated and included in the MPI Animal Use Statistics report. It will not identify you or your organisation.*

\* 17. Completed by name and designation

*Provide your name (person completing the survey) and your designation (job title).*

18. Additional information

*Please provide any additional comments or information.*

## Appendix 2: Animal Types

No distinction on the basis of sex, age, breed, strain or physiological condition.

Animal Type	Code	Animal
Rodents	1 a	Mice
	1 b	Rats
	1 c	Guinea pigs
	1 d	Hamsters
Rabbits	1 e	Rabbits
Farm Animals	1 f	Sheep
	1 g	Cattle
	1 h	Goats
	1 j	Deer
	1 k	Pigs
	1 l	Llamas, alpacas
Other Domestic	1 m	Horses
Mammals	1 n	Dogs
	1 o	Cats
Birds	1 p	Fowls, chickens
	1 q	Pigeons
	1 r	Other birds
Miscellaneous	1 s	Marine Mammals
	1 t	Possums
	1 u	Reptiles
	1 w	Amphibia
	1 x	Fish
	1 z	Octopus, squid, crabs, lobster, crayfish
Other	1 y	Other species (*name)

## Appendix 3: Extracts from the Animal Welfare Act 1999 and Conservation Act 1987

Although efforts to include relevant definition within this document have been made, there may be other provisions which are relevant to you. The full list of all animal welfare legislation should be consulted where appropriate (see [www.legislation.govt.nz](http://www.legislation.govt.nz)).

### Animal Welfare Act 1999

#### Excerpt from section 2(1) – Animal—

- a) means any live member of the animal kingdom that is—
  - i) a mammal; or
  - ii) a bird; or
  - iii) a reptile; or
  - iv) an amphibian; or
  - v) a fish (bony or cartilaginous); or
  - vi) any octopus, squid, crab, lobster, or crayfish (including freshwater crayfish); or
  - vii) any other member of the animal kingdom which is declared from time to time by the Governor-General, by Order in Council, to be an animal for the purposes of this Act; and
- b) includes any mammalian foetus, or any avian or reptilian pre-hatched young, that is in the last half of its period of gestation or development; and
- c) includes any marsupial pouch young; but
- d) does not include—
  - i) a human being; or
  - ii) except as provided in paragraph (b) or paragraph (c), any animal in the pre-natal, pre-hatched, larval, or other such developmental stage.

#### Section 3 Definition of “manipulation”-

- (1) In this Act, unless the context otherwise requires, the term manipulation, in relation to an animal, means, subject to subsections (1A) to (3), interfering with the normal physiological, behavioural, or anatomical integrity of the animal by deliberately—
  - a) subjecting it to a procedure which is unusual or abnormal when compared with that to which animals of that type would be subjected under normal management or practice and which involves—
    - i) exposing the animal to any parasite, micro-organism, drug, chemical, biological product, radiation, electrical stimulation, or environmental condition; or
    - ii) enforced activity, restraint, nutrition, or surgical intervention; or
  - b) depriving the animal of usual care;—  
and manipulating has a corresponding meaning.
- (1A) The term defined by subsection (1) includes the killing of an animal (other than an animal in a wild state) for the purpose of interfering with the animal's body or its tissues in a manner specified in that subsection.
- (1B) The term defined by subsection (1) also includes the breeding or production of an animal using any breeding technique (including genetic modification) that may result in the birth or production of an animal that is more susceptible to, or at greater risk of, pain or distress during its life as a result of the breeding or production.
- (2) The term defined by subsection (1) does not include—
  - a) any therapy or prophylaxis necessary or desirable for the welfare of an animal; or

- b) the killing of an animal by the owner or person in charge as the end point of research, testing, or teaching if the animal is killed in such a manner that the animal does not suffer unreasonable or unnecessary pain or distress; or
  - c) [Repealed]
  - d) the hunting or killing of any animal in a wild state by a method that is not an experimental method; or
  - e) any procedure that the Minister declares, under subsection (3), not to be a manipulation for the purposes of this Act.
- (2A) Subsection (1A) does not apply to any killing of an animal that is carried out by any person—
- a) while exercising powers under the Biosecurity Act 1993 for the purposes specified in section 121(1A) of that Act; or
  - b) while exercising powers or performing functions for the purposes of a response activity carried out under the Biosecurity Act 1993, being an activity undertaken after any event described in subsection (2B) and for any purpose described in subsection (2C).
- (2B) The events concerned are—
- a) the detection of an unwanted organism not previously known to be present in New Zealand:
  - b) the appearance of different effects of an unwanted organism known to be present in New Zealand and capable of being eradicated.
- (2C) The purposes concerned are—
- a) to investigate the unwanted organism:
  - b) to minimise the impact of the unwanted organism on natural and physical resources, human health, and overseas market access for New Zealand products:
  - c) to control the spread of the unwanted organism:
  - d) to reduce the geographical distribution of the unwanted organism:
  - e) to eradicate the unwanted organism.
- (3) The Minister may from time to time, after consultation with the National Animal Welfare Advisory Committee and the National Animal Ethics Advisory Committee, declare any procedure, by notice in the *Gazette*, not to be a manipulation for the purposes of this Act.
- (4) The Minister must, in deciding whether to publish a notice under subsection (3) in relation to a procedure, have regard to the following matters:
- a) the nature of the procedure; and
  - b) the effect that the performance of the procedure will or may have on an animal's welfare; and
  - c) the purpose of the procedure; and
  - d) the extent (if any) to which the procedure is established in New Zealand in relation to the production of animals or commercial products; and
  - e) the likelihood of managing the procedure adequately by the use of codes of welfare or other instruments under this Act or any other Act; and
  - f) the consultation conducted under subsection (3); and
  - g) any other matter considered relevant by the Minister.

### **Section 5 Definition of research, testing, and teaching-**

- (1) In this Act, unless the context otherwise requires, the term research, testing, and teaching means, subject to subsections (1A) to (4),—
- a) any work (being investigative work or experimental work or diagnostic work or toxicity testing work or potency testing work) that involves the manipulation of any animal; or
  - b) any work that—
    - i) is carried out for the purpose of producing antisera or other biological products; and
    - ii) involves the manipulation of any animal; or
  - c) any teaching that involves the manipulation of any animal; or

- d) any routine breeding of animals that may result in the birth or production of an animal that is more susceptible to, or at greater risk of, pain or distress during its life, being breeding for the purpose of carrying out any work or teaching of a type specified in paragraphs (a) to (c) on any offspring.
- (1A) The term defined by subsection (1) includes any work of a kind described in subsection (1)(a) or (b) carried out on the body or tissues of an animal after the animal was killed for the purpose, if the killing of the animal was a manipulation under section 3(1A).
  - (1B) A reference in subsection (1) to a manipulation of an animal includes a reference to the act of breeding or producing the animal in a way described in section 3(1B).
  - (1C) In applying subsection (1) in relation to a manipulation described in section 3(1B), the reference in subsection (1) to work must be read as a reference to scientific work but does not include normal animal management or practice.
- (2) The term defined by subsection (1) does not include any manipulation that is carried out on any animal that is in the immediate care of a veterinarian, if—
    - a) the veterinarian believes on reasonable grounds that the manipulation will not cause the animal unreasonable or unnecessary pain or distress, or lasting harm; and
    - b) the manipulation is—
      - i) for clinical purposes in order to diagnose any disease in the animal or any associated animal; or
      - ii) for clinical purposes in order to assess the effectiveness of a proposed treatment regime for the animal or any associated animal; or
      - iii) for the purposes of assessing the characteristics of the animal with a view to maximising the productivity of the animal or any associated animal.
  - (2A) Subsection (2)(a) does not apply in relation to a manipulation described in section 3(1A).
- (3) The term defined by subsection (1) does not include any manipulation of an animal—
    - a) which is carried out with the principal objective of—
      - i) assisting the breeding, marking, capturing, translocation, or trapping of animals of that type; or
      - ii) weighing or taking measurements from the animal; or
      - iii) assessing the characteristics of animals of that type; and
    - b) which is a manipulation of an animal that—
      - i) is carried out routinely; or
      - ii) is a minor modification of a manipulation that is carried out routinely; and
    - c) which is used to fulfil responsibilities and functions under—
      - i) the Conservation Act 1987; or
      - ii) any Act listed in Schedule 1 of the Conservation Act 1987; or
      - iii) any other Act or regulations under which the Minister of Conservation or the Director-General of Conservation or the Department of Conservation has responsibilities or functions; or
      - iv) the Fisheries Act 1996.
  - (4) For the purposes of this section, an animal is in the immediate care of a veterinarian if the veterinarian—
    - a) has accepted responsibility for the health and welfare of the animal; and
    - b) is providing the animal with direct and continuing care.

- (5) In the other sections of this Act (except section 57(a)(i)),—
- a) the term **research** means any research work that comes within the term defined by subsection (1); and
  - b) the term **testing** means any testing work that comes within the term defined by subsection (1); and
  - c) the term **teaching** means any teaching that comes within the term defined by subsection (1).

### **Conservation Act 1987**

#### **Excerpt from section 2(1) - protected wildlife means—**

- a) any animal for the time being absolutely protected pursuant to section 3 of the Wildlife Act 1953;
- b) any animal for the time being partially protected pursuant to section 5 of the Wildlife Act 1953, other than such an animal in circumstances in which that animal may be hunted or killed under the authority of subsection (2) of that section;
- c) any animal that is a marine mammal within the meaning of the Marine Mammals Protection Act 1978.