

(19)

Joanna Tuckwell

From: Andrew MacPherson
Sent: Thursday, 17 July 2008 2:34 p.m.
To: Joanna Tuckwell
Subject: Final draft AWINZ report

Attachments: Final Draft AWINZ Audit Report 070708.doc

Dear Joanna,
Due to an oversight it appears you were not included in the distribution list for my final draft report, please accept my apologies for this. The report has been forwarded to Neil Wells, who is on leave until the 4th August.
Best regards

Andrew
Andrew MacPherson. BVSc, BSc (Hons)
Auditor (Operations)
MAF Assurance and Risk Directorate
Mobile 029 9092717



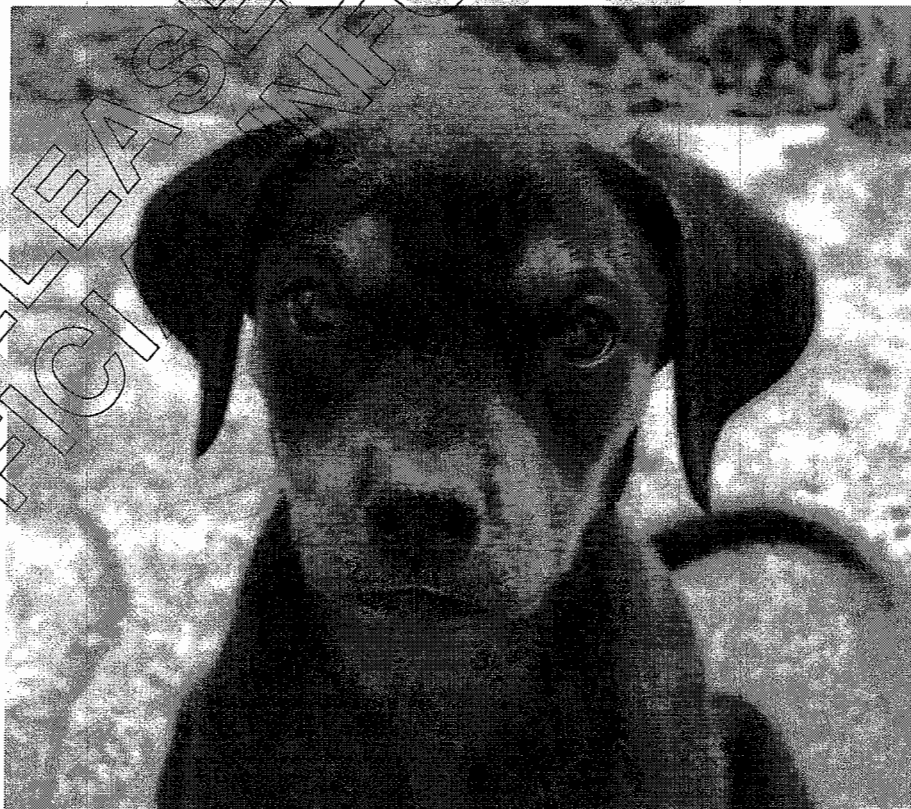
Final Draft AWINZ
Audit Report...

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Strategy and Performance Group
MAF Assurance and Risk Directorate

AUDIT REPORT
ANIMAL WELFARE INSTITUTE OF NEW ZEALAND
(AWINZ)
APRIL 2008



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EXECUTIVE SUMMARY

This audit of the Animal Welfare Institute of New Zealand (AWINZ) was undertaken under s75 of the Memorandum of Understanding (MOU) between the Institute and the Ministry of Agriculture and Forestry (MAF). The audit focused on the operational aspects of the MOU.

There were two major non-compliances recorded in this report. These are the obligation for an annual review of the MOU, which has not yet occurred, and secondly the lack of reporting of statistics concerning animal welfare complaints and prosecutions back to MAF.

There are four minor non-compliances identified, of which were also identified in the 2006 audit. The first relates to meeting frequency with MAF Enforcement Directorate not occurring as per the MOU. Secondly, Inspectors are not being formally notified of amendments to the Animal Welfare Act. The third concerns improvements to the AWINZ "Administrative and Operating Procedures" (AOP) which have not yet been made. The fourth is that the current version of the AOP has not been approved by MAF.

This report also raises three high impact recommendations for AWINZ. Compliance with the recommendations may lead to improved efficiency or mitigate risks associated with the activity discussed.

It was at times difficult during the audit to distinguish where the structure of AWINZ finished and where the Waitakere City Council (WCC) began hence it was at times difficult to separate the AWINZ organisation from that of WCC. For example the AWINZ Inspectors are not employed by AWINZ but are all employees of WCC.

AWINZ has effective systems for managing its obligations as an "Approved Organisation" as per s141 and s142 of the Animal Welfare Act 1999 (AWA). Its association with WCC is making a valid contribution to AW issues in Waitakere City.

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AUDIT FINDING DEFINITIONS

Term	Definition
Critical situation	Any situation that, in the professional judgement of the auditor, places public health, animal welfare, market access, official assurances, biosecurity, national good or MAF Directors' credibility at risk. Critical situations will be reported to the initiator of the audit for immediate corrective action to be taken.
Non-compliances	<p>Major</p> <p>A non-compliance that, in the opinion of the auditor, demonstrates a major failure in the operation of a specification or set of specifications. It may be a specific non-compliance or a system with multiple non-compliances having a cumulative effect. Major non-compliances may be created by escalation of outstanding issues from previous audits.</p> <p>Corrective actions and timeframes for closure will be agreed upon with the initiator of the audit at a close-out meeting. The effectiveness of corrective actions will be measured in subsequent Compliance Team audits.</p>
	<p>Minor</p> <p>A non-compliance that does not represent a major failure of an operation or system but that does require correction.</p> <p>Resolution will be monitored in subsequent audits.</p>
Recommendations	<p>Recommendations are given to highlight areas of a system that require improvement even though non-compliance has not occurred. Recommendations must be considered by audit parties when formulating post audit actions.</p> <p>High Impact Recommendation: These recommendations are considered to provide high impact efficiencies and significantly reduce risk. The high impact recommendations must be considered and implemented accordingly.</p> <p>Medium Impact Recommendation: These recommendations are non-binding and do not affect subsequent audits. However, they may provide medium impact efficiencies and may mitigate risk.</p> <p>NB: A recommendation to change existing specifications does not constitute a change. Existing specifications must be complied with until any changes are officially promulgated.</p>

SUMMARY OF AUDIT FINDINGS

With reference to the scope of this audit, AWINZ is operating at a satisfactory level regarding its obligations with respect to the operational aspects of the MOU with MAF and the requirements of the AWA. AWINZ is making a valid contribution through its linked organisation the WCC, as far as animal welfare activities are concerned within the WCC area; this is being achieved using both the AWA and the Dog Control Act 1996 (DCA).

The audit did not identify any critical issues; however there are two major non-compliances:

The MOU s84 states that it shall be reviewed annually but there is no evidence to show that this is occurring.

Since the MOU was signed in 2003, AWINZ has not been providing the two annual reports to MAF as required by s17 and s22 of the MOU. This was an issue identified in the previous 2006 audit, and continues to be an area of concern. The planned review of the MOU should be used as an opportunity to rationalise the number of reports and make alterations where applicable.

There were four minor non-compliances.

Only one of the bi annual meetings with MAF Enforcement Directorate took place in 2007.

Inspectors are not formally being notified when there are updates to the AWA.

The 2006 audit identified areas of the AOP that were deficient. These relate to procedures for recording complaints against Inspectors and retention of investigation records, which are still not present in the 01/02/2008 version.

The current version of the AOP has not been approved by MAF.

Several recommendations are also included for consideration.

Many of the other issues and recommendations from the last audit have been resolved (see s2.12 of this report).

Over the last 18 months there has only been one Animal Welfare (AW) prosecution investigation by the AW Inspectors this is currently underway. As indicated by staff and management when a complaint relates to a dog, it is often easier and faster to use the DCA where instant fines can be issued compared to the AWA.

SUMMARY OF MAJOR NON-COMPLIANCES

MAJOR NON-COMPLIANCE 1: FOR AWINZ AND MAF.

AWINZ and MAF have not ensured that the MOU is reviewed annually (ref: MOU s84)..... 10

MAJOR NON-COMPLIANCE 2: FOR AWINZ.

Annual reporting to MAF is not occurring as stipulated in the MOU (Ref: MOU s17 & s22)..... 11

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SUMMARY OF MINOR NON-COMPLIANCES

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The MOU s24 states that meetings with MAF Enforcement Directorate (previously MAF Special Investigation Group) shall occur at least twice a year, this did not occur in 2007.....14

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Inspectors are not being formally notified of amendments to AWA.....15

MINOR NON-COMPLIANCE 3: TO AWINZ.

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MINOR NON-COMPLIANCE 4: FOR AWINZ

The current version of the AOP has not been approved by MAF (MOU s16).....15

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That AWINZ return expired instruments of appointments to MAF using registered post 11

RECOMMENDATION 7: FOR MAF ANIMAL WELFARE DIRECTORATE (HIGH IMPACT).

To seek legal clarification as to definitions of wild cats, feral cats and strays and provide instruction on how the AWA should be applied to them 13

RECOMMENDATION 6: TO AWINZ(HIGH IMPACT).

The AOP is updated to include AW Inspector performance assessments..... 12

RECOMMENDATION 1: TO AWINZ AND MAF (MEDIUM IMPACT).

That s22 of the MOU be expanded or combined with s17 to include specifics as to what is to be reported (i.e. results of internal audits, numbers and reason for search warrants, etc) and clarify that this report is also in writing 10

RECOMMENDATION 3: FOR AWINZ (MEDIUM IMPACT).

That AWINZ amend s4.1.2 (g) of the AOP to reflect how security checks are being conducted..11

RECOMMENDATION 4: FOR AWINZ (MEDIUM IMPACT).

To review the rating system in s8.3 of the AOP to bring the classifications in line with actual practices.12

RECOMMENDATION 5: FOR AWINZ (MEDIUM IMPACT).

That the Officer Equipment check is amended to include verification that a copy of the AWA, its amendments and relevant regulations are carried by Inspectors. 12

RECOMMENDATION 8: FOR MAF (MEDIUM IMPACT).

That s20 and s21 of the MOU concerning notification and enquires of the MAF database regarding prosecutions and search warrants be reviewed... 14

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1. BACKGROUND

MAF administers the Animal Welfare Act 1999 and its regulations. AWINZ is an "approved organisation" under the AWA s121. In that capacity, it has powers and duties in relation to animals in its custody and it is able to recommend to MAF, persons to be appointed as Inspectors or auxiliary officers. MAF and AWINZ have signed a MOU, which defines the requirements to be mutually met by MAF and AWINZ and its linked organisations in three main areas:

1. Selection and appointment and other matters relating to the functioning of Inspectors and auxiliary officers, who have been appointed on the recommendation of AWINZ,
2. AWINZ/MAF liaison, and
3. Enforcement of the provisions of the Animal Welfare Act.

AWINZ has one linked organisation which is the WCC as such there is also a MOU between AWINZ and WCC. This was outside of the scope of this audit. All WCC animal welfare Inspectors are appointed on the basis of recommendations given by AWINZ. As clarification the term "AWINZ Inspector" is described in both the MAF/AWINZ MOU and AWINZ AOP as "a person appointed as an inspector under the AWA on the recommendation of AWINZ". All personnel (including the AWINZ Inspectors) based at the WCC Animal Accommodation Facility (48 The Concourse) are employees of WCC. It must be noted that AWINZ does not have any actual employees as such, apart from when they contract to the film industry to monitor AW issues. This did lead to some confusion regarding the demarcation between the two organisations.

AWINZ has Performance and Technical Standards for Inspectors and Auxiliary Officers (PTS) which have been established pursuant to s122 (2) of the AWA and in accordance with the MOU. The standards were approved by MAF on 1 April 2001. The PTS state the responsibilities and the standard operating procedures for the personnel employed for animal welfare duties within its linked organisation. AWINZ is responsible for ensuring that WCC Inspectors and auxiliary officers comply with these procedures.

The MOU requires annual audits of selected linked organisations and/or AWINZ National Office covering:

1. Selection and recommendation of Inspectors and auxiliary officers for appointment,
2. Compliance with the Animal Welfare Act 1999,
3. Documentation relating to animal welfare complaint investigations, and
4. Training of Inspectors and auxiliary officers.

AWINZ was last audited by MAF in May 2006.

WCC has 5 appointed AW Inspectors and 3 people are currently in training with Unitec New Zealand. The Manager (Animal Welfare, WCC) indicated that at the very minimum they require a staffing of 3 warranted Inspectors.

Some of the other activities AWINZ are involved in are:

1. AW monitoring for the New Zealand film industry, and
2. Administering the Lord Dowding Trust, for research and teaching purposes.

2. AUDIT FINDINGS

2.1 MEMORANDUM OF UNDERSTANDING

The MOU between AWINZ and MAF defines the requirements to be met by AWINZ in the area of selection and recommendation for appointment and other matters relating to both Inspectors appointed by the Minister and auxiliary officers appointed by the Director General under the AWA, and the enforcement of the provisions of the AWA.

Section 84 of the MOU states "This MOU shall be reviewed annually by both parties, or earlier at the request of either party". Since its initial signing on 4 December 2003, there is no evidence that this document has been reviewed by either party.

Major non-compliance 1: For AWINZ and MAF.

AWINZ and MAF have not ensured that the MOU is reviewed annually (Ref: MOU s84)

2.2 AWINZ'S REPORTING

The MOU s17, states that AWINZ shall furnish MAF with annual statistics pertaining to:

- (a) number of complaints received (nationally) by species, and
- (b) number of prosecutions (nationally) including the number of successful prosecutions.

The statistics for 1 January to 31 December are to be supplied to MAF by 1 April the following year. Figures for 2006 and 2007 had not been supplied at the time of audit.

The WCC Team Leader and Quality Coordinators have now recovered the 2007 statistics, however due to a computer problem they are currently unable to retrieve the 2006 figures. The figures for 2007 were available for the auditor to inspect. There has been a change in Team Leader (since April 2007) and the new person was not aware of their responsibilities concerning compiling this data. The specific responsibilities of the quarterly reporting for both the Manager and the Team Leader are outlined in the new AWINZ AOP s2.12 (c) and s2.2.1 (e) (01/2/2008). However, these have not yet been implemented.

The MOU s22 requires AWINZ to provide MAF with "an annual report on the year's administration and performance of AWINZ by the 31 March of the following year". Since 2003, no written report on such matters has been provided to MAF.

Recommendation 1: For AWINZ and MAF (Medium Impact).

That s22 of the MOU be expanded or combined with s17 to include specifics as to what is to be reported (i.e. results of internal audits, numbers and reason for search warrants, etc) and clarify that this report is also in writing.

There has been a change within MAF personnel who receive this data, and the statistics and reports are now being more actively sought from AWINZ.

No AW prosecutions have been lodged in the last 2 years; however there is one case currently in progress. It appears that in a practical sense the powers of the DCA are used more frequently over the AWA.

Major non-compliance 2: For AWINZ.

Annual reporting to MAF is not occurring as stipulated in the MOU (Ref: MOU s17 & s22)

MOU s 34 states that "AWINZ shall be responsible for recovering the instruments of appointment and forwarding it to MAF Biosecurity Authority on behalf of the former Inspector".

The returning of expired instruments of appointment has been occurring, however the last envelope containing several (dated 27/11/07) went missing in the post. Certificates of appointment (ID cards) will be reissued by MAF in a new format shortly, Pers.com. MAF Animal Welfare Directorate.

Recommendation 2: For AWINZ (High Impact).

That AWINZ return expired instruments of appointments to MAF using registered post.

2.3 RECRUITMENT

MOU s14 (a) states that "AWINZ shall, in consultation with its Linked Organisation (WCC), develop, and implement AWINZ Procedures for Inspectors, which include: (i) selection and recommendation of suitable people for appointment as Inspectors". The MOU does not stipulate how prospective employees are to be assessed as being suitable as far as being free of serious convictions; however the AWINZ AOP s4.1.2 (g) states that "AWINZ will seek a Police report". Currently a private security company (Icon Security Ltd) conducts a security check through the Ministry of Justice. This is working satisfactorily, however it does not follow the guidelines of the AWINZ AOP, therefore an amendment is required.

Recommendation 3: For AWINZ (Medium Impact).

That AWINZ amend s4.1.2(g) of the AOP to reflect how security checks are being conducted.

There are currently no auxiliary officers within WCC and it is anticipated this will stay the same. The system of renewal of Animal Welfare inspector appointments is working well.

2.4 WCC TEAM LEADERS RESPONSIBILITIES

The Team Leader carries out daily monitoring of response times and priority rating allocations for AW complaints; this is working well. The response times stated in s8.3.5 of the AOP have been established by AWINZ, using s3.6 of the PTS as a guide. They are more stringent than the time guidelines given in the PTS. The highest category of suffering of an animal which requires to be immediately passed on to an Inspector (within 5 minutes), is called a Grade I (Priority) case. The time required to inform Inspectors is the same for Grade I and Grade II classifications. However the time that Inspectors have to respond to these is different. In practice the Grade I classification is not being used, instead it is referred to as a "Priority" AW

case. The rating system detailed in s8.3 of the AWINZ AOP should be streamlined to come in line with actual practices.

Recommendation 4: For AWINZ (Medium Impact).

To review the rating system in s8.3 of the AOP to bring the classifications in line with actual practices.

The Team Leader audits the equipment issued to the Inspectors. The audit tests indicate that the WCC "Officer Equipment check list" does not mention the AWA or the AWINZ manuals specifically. PTS s4.4 states that Inspectors should have a copy of the AWA as part of their equipment requirements.

Recommendation 5: For AWINZ (Medium Impact).

That the Officer Equipment check list be amended to include verification that a copy of the AWA, its amendments and relevant regulations are carried by Inspectors.

2.5 TRAINING

The WCC staff training register for staff working from the Animal Accommodation Facility is computerised and held in Excel format. Training is conducted both in house and by outside organisations. The records were found to be well maintained. A comprehensive agenda has been planned for continuing education in 2008.

An assessment of Inspector performance KPI (Key Performance Indicators) is carried out using the yearly WCC Organisational Excellence – Performance Development Record template. The templates are being completed by the Team Leader, however they deal mainly with dog control responsibilities. The AOP does not specifically explain how AW Inspector performance is assessed.

Recommendation 6: To AWINZ (High Impact).

That the AOP is updated to include AW Inspector performance assessments.

2.6 WCC QUALITY CO-ORDINATORS

The allocation, rating and response times of AW complaints are the responsibility of the Quality Coordinators. This is working very efficiently, e.g. Grade 1 (Priority) calls are transferred to an inspector well within the recommended time frame of less than 5 minutes, as in s8.3.5 AOP.

2.7 EUTHANASIA PROCEDURES

The new Euthanasia Procedures (Animal Welfare: Waitakere, approved 6/12/2007) were examined. This is an excellent and comprehensive document. Animals are differentiated between wild and domesticated, other factors considered are the temperament and health.

During the discussion, it was noted that "wild" cats are not being retained for the stipulated 7 days as per the AWA s141.2 (a) (iii), before euthanasia. There is the possibility that a "grumpy" cat could be mistaken for a wild cat and destroyed before 7 days have lapsed. However in practice an experienced animal handler should be able to establish this to a satisfactory degree. A feral/wild cat will generally not be able to be domesticated and as such is unsuitable for homing.

There is also the issue that keeping a "wild" cat in a cage for 7 days could cause unnecessary distress to the animal.

Recommendation 7: For MAF Animal Welfare Directorate (High Impact).
To seek legal clarification as to definitions of wild cats, feral cats and strays and provide instruction on how the AWA should be applied to them.

2.8 REQUIREMENT TO MAINTAIN A REGISTER

The obligations of the AWA s141 "Duties of Approved Organisation", relating to taking reasonable steps to identify the owners of animals that have found themselves at the WCC Animal Accommodation Facility, is being complied with. Owners of dogs that are registered are sent a letter, giving the 7 day minimum time period of notification. Before being released from the facility all dogs that have not already been microchipped are microchipped. There appears to be some frustration with the lack of a national database for owners and dogs; however this was outside the scope of the audit.

AWA s142 states the requirements for maintaining an animal register. The Quality Coordinators maintain excellent in pound forms, registers and individual species registers, complying well with the requirements of the AWA. As a best practice it would be useful to have additional annotation in the register when required to avoid having to go back to individual animal records.

2.9 AW MAF DATABASE

The MOU s20 states that AWINZ is to inform MAF (Enforcement Directorate) of any search warrant or prosecution so that the MAF national database can be updated. However no time frame is stipulated. The MOU s21 also states that an enquiry of the database must be in writing; in practice this is done by phone and then followed up in writing. This again is evidence that a review of the MOU is needed.

The AWINZ AOP s 9.1.8 states that the "investigating Inspector will check the history of the alleged offender (if time permits) including a check of the MAF database". In reality AWINZ Inspectors consult the WCC database to check if there is any history about an alleged offender. The Inspector interviewed was aware of the MAF 0800 number to call to also establish if there have been any additional investigations concerning the alleged offender.

The topic of the MAF database is on the agenda for the next Auckland based interagency meeting between AWINZ and MAF (Enforcement Directorate).

Within the last 18 months only one search warrant was performed by AWINZ, this case is still being investigated. At the time of the audit MAF had not yet been contacted regarding this case.

Recommendation 8: For MAF (Medium Impact).
That s20 and s21 of the MOU concerning notification and enquires of the MAF database regarding prosecutions and search warrants be reviewed.

2.10 INSPECTOR INTERVIEW

The WCC AW inspector interviewed had previous experience in another local authority using the DCA. He stated that the training he received in his current position was excellent and also indicated that being warranted under both the AWA and the DCA was an advantage. He gave the impression of having a real desire to work in the AW field and appeared knowledgeable and practical about how to accomplish his work.

It was discussed how AW complaints are communicated to the Inspectors in the field by the Quality Coordinators and how if necessary they would reclassify the complaint depending upon what they discover.

Sample testing indicated he had good record keeping systems.

This inspector has a special licence to discharge a firearm in a residential area. He has a lot of experience with firearms, which would when required, be very useful.

He was able to describe the procedures of obtaining a search warrant via a local Justice of the Peace if required. He also stated that having internet access via a laptop in the field would help Inspectors in carrying out their role more effectively.

The inspector's vehicle was inspected. It was clean and tidy and well organised, and it appeared to have all the equipment necessary.

2.11 REVIEW OF 2006 AUDIT NON-COMPLIANCES AND RECOMMENDATIONS

MAJOR NON-COMPLIANCE 1: MAF AND AWINZ, STILL OPEN.

(Liaison with MAF has not been occurring as required in the MOU s23 and s24).

MAFAW and AWINZ liaison did occur in 2007 as stipulated in the MOU (s23). The auditor sighted the minutes for two meetings held in 2007. However s24 of the MOU states that there should also be liaison meetings with MAF Enforcement Directorate no less that twice a year. One meeting was held in June 2007 but the November 2007 meeting did not take place.

Minor non-compliance 1: For AWINZ

The MOU s24 states that meetings with MAF Enforcement Directorate (previously MAF Special Investigation Group) shall occur at least twice a year, this did not occur in 2007

MINOR NON-COMPLIANCE 1: TO AWINZ, STILL OPEN.

(Copies of the Animal Welfare Act held by AWINZ and its Inspectors are not completely up-to-date).

Up-to-date versions of the Act can be accessed from the internet when in the office, however Inspectors are not getting notified of amendments. The Manager agreed to scrutinise all AWA updates and pass relevant information on to Inspectors at staff meetings.

Minor non-compliance 2: For AWINZ.
Inspectors are not being formally notified of amendments to AWA.

MINOR NON-COMPLIANCE 2: TO AWINZ , STILL OPEN.

(Elements of the AWINZ quality manual (AOP) are missing: procedures for recording investigations against Inspectors, and procedures for retention of investigation records).

These are still missing however the former is covered adequately in the MOU s26 to s31.

Minor non-compliance 3: For AWINZ.
Elements of AOP are still not present, as identified in the 2006 audit.

Section 16 MOU states that modifications to the AWINZ Procedures for Inspectors shall be approved by the Group Director Biosecurity Authority. The current manual issued to Inspectors is dated 1/02/08. At the date of the audit, this has not been approved by MAF.

Minor non-compliance 4: For AWINZ
The current version of the AOP has not been approved by MAF (MOU s16).

MINOR NON-COMPLIANCE 3: TO AWINZ , PARTIALLY RESOLVED (SEE S2.5 TRAINING)

(Processes for appointment, continuing education and performance monitoring are partially in place in AWINZ procedures but are not currently being fully implemented).

Changes to the programme for continuing education for appointed Inspectors and non appointed officers "Dog Control Officers" have been made.

The issue between UNITEC and AWINZ regarding the time it is taking for papers to be marked needs to be resolved.

MINOR NON-COMPLIANCE 4: TO AWINZ , RESOLVED.

(Reasons for disposal of animals are not consistently being recorded in the AWINZ animal register AWA s142).

These are now being recorded, both when it applies to the DCA (when unregistered) and AWA.

RECOMMENDATION 1: TO AWINZ , STILL OPEN (SEE MEDIUM IMPACT RECOMMENDATION 5, OF THIS REPORT).

(That AWINZ clarifies in the PTS s4.4 that Inspectors are required to carry the AWA including amendments).

The AWINZ AOP s9.3.1 version 01/2/2008 states that essential resources for every investigation should include the AWA (with amendments). It is recommended that the Officers

Equipment Check List be amended to include checking that the AWA and amendments are in the Inspectors equipment.

RECOMMENDATION 2: TO MAF BIOSECURITY NEW ZEALAND, RESOLVED.

(That MAF Biosecurity New Zealand expands MOU s48 to require that written evidence from UNITEC of a pass in the required course be included with initial applications for appointment as Inspectors).

AWINZ are now attaching the Unitec New Zealand certificate with applications, this satisfies MOU s48 (d).

RECOMMENDATION 3: TO AWINZ, RESOLVED.

(That AWINZ ensures that its Inspectors are familiar with the database (Enforcement Directorate Database) where complaint histories are held and with procedures for accessing the MAF search warrant database).

The three Inspectors questioned who were at the Animal Accommodation Facility at the time of the audit were aware of the MAF database and how to request information from it.

RECOMMENDATION 4: TO AWINZ , RESOLVED.

(That AWINZ keeps separate registers for dogs held under the Animal Welfare and Dog Control Acts so that compliance with s141 of the AWA can be verified).

These were verified. There are separate registers for dogs, cats, birds and wild animals.

Andrew MacPherson BVSc, BSc (Hons)
Auditor, (Operations)
MAF Assurance and Risk Directorate.

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APPENDIX 1: TERMS OF REFERENCE

OBJECTIVES

1. To evaluate the effectiveness of the systems and procedures used by the Animal Welfare Institute of New Zealand (AWINZ) in meeting the requirements outlined in the Memorandum of Understanding between AWINZ and the Ministry of Agriculture (MAF).
2. To evaluate the contribution made by AWINZ in the enforcement of the provisions of the Animal Welfare Act 1999, including numbers of investigations, prosecutions and educational activities.
3. Where appropriate, to recommend improvements to the Memorandum of Understanding between AWINZ and MAF, and to AWINZ procedures.

SCOPE

1. Follow up issues raised during May 2006 audit.
2. Interviews with AWINZ Board members and staff to discuss records and procedures.
3. An examination of records and reports supplied by AWINZ to MAF Biosecurity New Zealand.
4. An examination of the interaction between AWINZ and other animal welfare enforcement agencies, e.g. Auckland SPCA, MAF Enforcement Directorate.

CRITERIA

1. Animal Welfare Act 1999.
2. Memorandum of Understanding between AWINZ and MAF (dated 4 December 2003).
3. AWINZ Performance and Technical Standards for Inspectors and Auxiliary Officers (dated 1 April 2001).
4. AWINZ Procedures for Inspectors ('Administrative and Operating Procedures') issued by the Board of Trustees of AWINZ (dated September 2004).

(Note: The audit was conducted against the 2008 AOP, this version was not known at the time the TOR was communicated to AWINZ).

APPENDIX 2: AUDIT DETAILS

Audit procedure: Compliance Team allocated audit procedure (CT-REV-02)

Response to critical situation: Compliance Team critical situation procedure (CT-REV-04)

Initiator: David Bayvel, Director Animal Welfare

Auditors: Andrew MacPherson, Auditor, MAF Assurance and Risk Directorate

Observers: Joanna Tuckwell, Policy Adviser Animal Welfare
Julie Collins, Auditor, (Operations) MAF Assurance and Risk Directorate.

Auditee: AWINZ

Primary auditee contact: Neil Wells, AWINZ Trustee and Manager: Animal Welfare, WCC.

Location and date: 21 and 22 April 2008, WCC Animal Accommodation Facility (48 The Concourse), Auckland

Interviewees: Neil Wells, AWINZ Trustee and Manager: Animal Welfare, WCC
Rochelle Dean, Team Leader and AW Inspector, WCC.
Stephen Bone, AW Inspector WCC.
Rebecca "Becky" Cox and Leanne Graham, Quality Coordinators, WCC.
Alan Wilson, Animal Welfare Investigator, MAF (22 February 2008 and 9 May 2008).

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APPENDIX 3: ABBREVIATIONS AND ACRONYMS

AOP	AWINZ Administrative and Operating Procedures, for Animal Welfare: Waitakere (01/02/2008)
AWINZ	Animal Welfare Institute of New Zealand
AW	Animal Welfare
AWA	Animal Welfare Act 1999
DCA	Dog Control Act 1996
MAF	Ministry of Agriculture and Forestry
MC	Microchip
MOU	Memorandum of Understanding (04/12/2003)
PTS	Performance and Technical Standards for Animal Welfare Institute of New Zealand Animal Welfare Inspectors and Auxiliary Officers (1/04/2001)
RNZSPCA	Royal New Zealand Society for the Prevention of Cruelty to Animals
SPCA	Society for the Prevention of Cruelty to Animals
The Manager	The Manager (Animal Welfare, WCC)
WCC	Waitakere City Council

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APPENDIX 4: REPORT DISTRIBUTION

MAF Biosecurity New Zealand: David Bayvel, Director Animal Welfare, MAF Biosecurity New Zealand (Final)
Joanna Tuckwell, Senior Policy Advisor, MAF Biosecurity New Zealand, Animal Welfare (Draft and Final)

Teresa Williams, Director Assurance and Risk, MAF Strategy and Performance Branch (Draft and Final)
Kumar Kumareswaran, Audit Manager, MAF (Draft and Final)
Andrew MacPherson, Auditor, Operational Audit Team, MAF

AWINZ: Neil Wells, AWINZ Trustee and Manager: Animal Welfare, WCC. (Draft and Final).

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