

## WAZA Policy on Ownership, Access and Use of International Studbook Data

### WAZA International Studbook Programme

An international studbook dataset is an accurate, global database that is compiled, maintained, distributed and analysed in a timely fashion, so that it is suitable for contributing to the (inter-) regional management of intensively managed (*ex situ*) animal populations.

International studbooks (ISBs) approved and overseen by the World Association of Zoos and Aquariums (WAZA), through its Committee for Population Management (CPM), have the following purposes:

- Providing a valuable service to the zoological community by offering the most complete and accurate global data on the *ex situ* population's pedigree and demography for a selected number of species.
- Enhancing management of the *ex situ* population through analysis of the ISB dataset.

### 1. ZIMS for Studbooks

WAZA requires ISB data to be managed and maintained in ZIMS for Studbooks, which is supported by Species360.

WAZA believes that ZIMS for Studbooks is a significant evolution in the management of zoos and aquariums' population data, making the information managed more accessible to the community; acting as a catalyst for increased cross-institutional and cross-regional collaboration, while making it vastly easier; and supporting conservation efforts and analyses that allow zoos and aquariums to gain more knowledge for species conservation.

WAZA recognises that the natural history characteristics of certain taxa are not yet integrated in ZIMS for Studbooks, as is the case, for example, in group managed species. In these instances, the WAZA International Studbook Coordinator ([conservation@waza.org](mailto:conservation@waza.org)) should be contacted, explaining the main reasons why the ISB cannot use ZIMS for Studbooks and why an alternative software should be used for maintaining the studbook dataset.

### 2. Ownership of International Studbook Data

Studbook data are maintained and collected systematically by the ISB Keepers from zoos and aquariums and other conservation-based organisations for the purpose of: 1) offering accurate global data on *ex situ* population pedigree, 2) enhancing the management of the *ex situ* population through analysis of the ISB dataset, and 3) potentially informing decision making by the partners of the existing Global Species Management Plans (GSMPs).

An ISB is established under the auspices of WAZA, and the ISB hosting institution and the ISB Keeper are appointed by the WAZA Committee for Population Management after a process of consultation with its members as established in the WAZA International Studbook Keeper Resource Manual (WAZA, 2018).

The data contained in the ISBs are held under the ownership of WAZA, while the ISB Keepers and the Institutions employing them are the curators, not owners, of the data.

### 3. International and Regional Studbooks

*Existence of an International and Regional Studbook for the same taxon*

Regional studbooks are those studbooks that are managed by a WAZA-recognised regional association (see full list [here](#)) and that are used for the purpose of managing regional programmes such as the European Association of Zoos and Aquaria (EAZA) Ex situ Programmes ([EEPs](#)), the Association of Zoos and Aquariums (AZA) Species Survival Plans ([SSPs](#)) and the Zoo and Aquarium Association (ZAA) Australasian Species Management Program ([ASMSPs](#)).

Wherever there is an ISB, as well as (a) Regional Studbook(s) for the same taxon, the preferred approach is for the Regional and ISB keepers to work together to develop one studbook dataset to avoid duplication of efforts. In this case, both Regional and ISB keepers should be able to have editing access to the dataset and the editing access to the regional studbook keeper will be provided by the WAZA ISB Coordinator, at the WAZA Executive Office, after being notified by the International Studbook Keeper. Clear rules around data entry and editing should be established between the ISB keeper and the other regional programme leader(s) with editing access. Careful evaluation and additional considerations should be taken, as the actions of those with editing rights can impact the data within the whole dataset.

If different studbook keepers for the same species agree to work under the ISB, and therefore use the same dataset, all hosting regional associations should be notified, as well as WAZA.

It may not always be possible to reach an agreement between different studbook keepers to work under the ISB, or it might seem sensible to keep the studbooks separate for other reasons. Even in this case, close collaboration between the different studbook keepers is highly encouraged to guarantee that the data kept are current and accurate, and having mutual analytical access to both the ISB and Regional Studbooks is highly recommended.

In case of keeping two or more separate studbooks, the WAZA ISB keeper will be required to fulfil the needs and requirements that are described throughout the International Studbook Keeper Resource Manual (WAZA, 2018).

#### **4. Sharing Data from the International Studbook**

The WAZA International Studbook can be of relevance to other stakeholders from within the zoo and aquarium community (*e.g.*, regional studbook keepers, Taxon Advisory Groups (TAG) chairs, regional programme leaders) and to external stakeholders from outside the zoo and aquarium community (*e.g.*, researchers, students, NGOs, other conservation organisations). Sharing of information, when interpreted adequately and under specialist supervision, can lead to more effective *ex situ* population management and species conservation.

However, it must be noted that data sharing also comes with its risks. Data sharing is not always mutually beneficial and can lead to concern, reluctance and risks such as misuse, misinterpretation or sharing beyond the intended audience. Each request needs to be carefully considered to mitigate these concerns before any data are shared with an external party.

Managing access to ISB data in ZIMS for Studbooks is coordinated by the WAZA Executive Office in close cooperation with the Regional or National Association hosting the ISB, as well as the ISB keeper. Whenever a studbook dataset is used for both International and Regional purposes, the procedures for providing access of both WAZA and the respective regional association(s) should be respected.

#### 4.1. Possible ways of sharing data

The ISB keepers and the WAZA Executive Office can share studbook data in four different ways:

- I. by sharing the published version of the ISB,
- II. by providing an extract of the studbook information, such as a Census Report or a list of individuals, exported from ZIMS for Studbooks by the WAZA Executive Office or the ISB keeper,
- III. by sharing data exported to any extension that allows analyses through alternative software for data analysis and interpretation, such as PMx, Excel, R, SPSS, etc.
- IV. by sharing studbook information through ZIMS for Studbooks, meaning that there will be access to the real-time studbook dataset. This option needs the most careful consideration, as there is access to export, analyse and easily distribute the data.

Any data access requests should be addressed to the WAZA International Studbook Coordinator at [conservation@waza.org](mailto:conservation@waza.org). Requests received by Species360 should also be forwarded to the WAZA ISB Coordinator, who will evaluate the request following the existing procedures described below.

#### 4.2. Sharing of studbook data within the zoo and aquarium community

Core WAZA CPM *ex situ* management audiences (e.g., regional studbook keepers, regional programme leaders, population biologists, internal researchers, TAGs and SSP, EEP and ASMP conservation advisors) can have access or potential access upon request to the WAZA International Studbook Coordinator ([conservation@waza.org](mailto:conservation@waza.org)), and consequent notification to the ISB keeper, to view data or get analytical rights in ZIMS for Studbooks, as well as view aggregated results (please refer to section 5 *Levels of access to the data in an International Studbook in ZIMS for Studbooks* in this policy for further information).

**Table 1. Data accessibility potential for audiences within the zoo and aquarium community**

	ISBK	rSBK	PL	PB	IR	Advisors	TAG Chair	Reg. office
Within the zoo and aquarium community	<b>Edit</b>	Yes	Upon approval by ISBK	Upon approval by ISBK	Assigned PB	No	No	No
	<b>Analytical</b>	Yes	Upon request to WAZA ISBc					
	<b>View data</b>	Yes	Upon request to WAZA ISBc					
	<b>View aggregated results</b>	Yes	Yes	Yes	Yes	Yes	Yes	Yes

**Note:** International Studbook Keeper (ISBK); WAZA International Studbook Coordinator (ISBc); Regional Studbook keeper (rSBK); Programme leader (PL); Population Biologist (PB); Internal researcher (IR); Regional Association Office (Reg.office) Taxon Advisory Group (TAG).

#### 4.3. Sharing of studbook data outside the Zoo and Aquarium Community

Refer to *Appendix 3* for a summarised version of the process.

There is little potential for accessing the data outside the zoo and aquarium community, while there is a wide range of potential access to view data upon approval by the WAZA CPM for *ex situ*

community collaborators (*e.g.*, IUCN Specialist Groups, NGOs, government, regulatory agencies, academia).

With approval from the WAZA CPM, the public, media, groups of special interest (those whose mission may not be aligned with WAZA's) or others may be provided with limited, controlled access to view aggregated results only.

- i. There are two possible scenarios to share data outside the zoo and aquarium community:
  - **Species-specific research**
  - **Multi-species research** (*e.g.*, cross taxa research, research into general demographic and genetic principles, etc.)

Sharing ISB data for professional research, peer-reviewed publication or other external purposes will be conditional upon the approval of the WAZA CPM (multi-species research) or the International Studbook keeper (and regional studbook keepers) as well as the CPM's Chair and Co-chairs (for species-specific research). The ISB keeper and regional programme leaders are in a better position to understand whether the methodology used against the existing data may be adequate, their input will help inform the WAZA CPM's decision on whether the sharing of data is recommended.

Potential requests coming from public, media or groups of special interest will require the approval and careful consideration by both the WAZA CPM and the ISB keeper.

To request access to ISB data, a research proposal form (*Appendix 1*) must be filled in and sent to the WAZA International Studbook Coordinator at the WAZA Executive Office ([conservation@waza.org](mailto:conservation@waza.org)). The research proposal will then be distributed to the WAZA CPM (multi-species research) or the International Studbook keeper and the WAZA CPM Chair and Co-chairs (species-specific research) as well as all studbook keepers involved according to the relevant process for each request (*See below* 'Species-specific research' or 'Multi-species research').

If the request is approved by the relevant WAZA body, the institution outside the zoo and aquarium community will need to enter into a non-disclosure agreement with WAZA. The data shared will only be used for the purpose of that specific research and cannot be shared beyond the intended audience and signatories of the non-disclosure agreement.

According to the nature of the research request, there are different processes that need to be followed:

#### Species-specific research

If there is a data viewing request for species-specific research, the decision on either granting access to view the data or not, lies with the International Studbook Keeper, regional studbook keepers, if applicable, and the WAZA CPM after careful evaluation by the former parties.

If there is a single dataset used for multiple purposes (*e.g.*, ISB, SSP, EEP and/or ASMP) by WAZA and one or more regional associations, there must be consensus between all dataset contributors (international and regional studbook keepers) before access is granted to the requesting party. If no consensus can be reached, any association contributing to the dataset may reserve the right to veto the use of their region's subset of data, and their data

should therefore be excluded from the export before being shared and subsequent research.

For some datasets that include information on a single region, that is, acting as ISBs and regional studbooks at the same time and managed by the same studbook keeper, the decision on giving access to the data will lie with the relevant regional association and will be made according to their established procedures. The WAZA ISB Coordinator should, at all times, be informed of the process and decisions made, who will then notify the WAZA CPM of the decision made.

Multi-species research

If there is a data viewing request for cross-taxa research, the decision on either granting access to view the data or not, lies with the WAZA CPM after a fifteen working-day period to comment.

ISB keepers will be notified and given a period to comment on the request/proposal before any data are shared with the external requesting party. Any comments and input provided will be shared with the WAZA CPM to facilitate a further informed decision with the best available information from the ISB keepers.

- ii. Those with real-time access to the dataset through either ‘Read’ or ‘Viewing’ access must use their access for the purposes of their role and must never share studbook data with anyone else. In these instances, an end-date will be set for one year after gaining access. An extension of the access can be requested by contacting the WAZA ISB Coordinator after receiving the consent of the ISB Keeper and regional studbook keepers working under the ISB.

**Table 2. Data accessibility potential for audiences outside the zoo and aquarium community**

Outside the zoo and aquarium community		IUCN SG	NGOs	Government	Reg. agencies	Academia	Public	Media	Groups of special interest
	<b>Analytical</b>	No	No	No	No	No	No	No	No
	<b>View data</b>	Upon approval by ISBk and CPM	No	No	No				
<b>View aggregated results</b>	Upon approval by ISBk and CPM	Upon approval by ISBk <b>and</b> CPM	Upon approval by ISBk <b>and</b> CPM	Upon approval by ISBk <b>and</b> CPM					

**Note:** IUCN Specialist Group (IUCN SG), Non-governmental organisation (NGOs), Regulatory Agencies (Reg. agencies).

**4.4. Further considerations**

WAZA acknowledges that some journals would require studbook data be made available as supplementary material that can be accessed by any researcher or reviewer interested in scrutinizing the manuscript. Raw data on any International Studbook is owned by WAZA (and contributing regional associations working under the ISB) and are available upon reasonable written request to the WAZA International Studbook Coordinator.

Occasional and minor queries on aggregated results (*e.g.*, number of specimens alive, number of institutions housing the species, specimens born in a year), can be solved at the ISB keeper level.

## 5. Levels of Access to the Data in an International Studbook in ZIMS for Studbooks.

- **Editing rights:** ability to fully view, edit and analyse studbook data. It is given by default to assigned ISB keepers (unless otherwise decided by the regional association in special circumstances). Editing rights may also be granted to regional studbook keepers for the same taxon if agreed by the ISB keeper.
- **Analytical rights:** ability to view and export data without editing rights. Analytical rights are directly granted to the population biologists at the overseeing regional association, as well as to all population biologists in CPM-member regional associations that request it. Other audiences requesting analytical access to a certain ISB will need to follow the process described in section 4 of this policy.
- **Viewing data:** ability to view data without editing or analytical rights. A broader audience has the potential to view, but not analyse data. Individuals and organisations responsible for population management are able to view data upon request to the WAZA ISB Coordinator and subsequent approval by the ISB keeper. It is important to note that these data can still be exported via Excel, which can be analysed outside of ZIMS for Studbooks.

The most restrictive way of sharing data is by **viewing aggregated results**, which is the ability to be informed through aggregated data on certain aspects within the dataset (*e.g.*, number of individuals in a specific region, number of individuals born within a year). This option does not involve gaining access to ZIMS for Studbooks and it therefore removes the possibility of editing data in any possible way. The query may come to the WAZA Executive Office, which will notify the ISB Keeper about it, and see if there is any potential concerns with sharing these aggregated results.

There are many features in ZIMS that can be activated or switched off for a specific access role. If required, it is possible for the WAZA International Studbook Coordinator to create **custom roles** to accommodate the requirements of a specific person(s) requesting to view/access data.

## *Appendix 1*

### **International Studbook Programme**

- Data sharing Agreement for professional research purposes -

The World Association of Zoos and Aquariums (WAZA) is committed to maximising the use of its International Studbooks (ISB) data to advance knowledge and improve practices for both conservation and animal welfare, and other scientific fields. WAZA welcomes proposals for collaborative projects from bona fide professional researchers. Our aim is to make the data that WAZA holds as widely and freely available as possible, while safeguarding the privacy of WAZA members and non-WAZA members contributing to the ISBs, protecting confidential data, and maintaining the reputation of these studies.

All bona fide professional researchers, or students supervised by researchers wishing to use WAZA ISBs data are advised to contact, in the first instance, the WAZA ISB Coordinator, who will check with the respective ISB keeper to determine whether sharing of the required data will serve the expected purpose.

A detailed description of the methodology of the study and hypothesis will be required through the form below (hereafter referred to as 'research proposal'). The research proposal will be submitted to the WAZA Committee for Population Management, and if the request is approved, a non-disclosure agreement will be signed by the person(s) accessing the ISB Data.

A copy of the research proposal and the subsequent non-disclosure agreement will be kept by the researcher(s) requesting access to the data, the respective ISB keeper(s) and by the WAZA International Studbook Coordinator.

Please, send the completed and signed form to [conservation@waza.org](mailto:conservation@waza.org).

**International Studbook Programme  
RESEARCH PROPOSAL, DATA SHARING AGREEMENT Form**

STUDY DETAILS	
<b>Name of the study</b>	
<b>Name of the ISB(s)</b>	
<b>Aim of the research</b>	
<b>Requested data</b> <i>Please, detail the data you will be using in the research if the current inquiry is approved.</i>	
<b>Methodology</b> <i>Please explain how the requested data will be used in your study.</i>	

**CONTACT DETAILS**

*Student's supervisor*

Name of the supervisor:  
 Position:  
 Organisation:  
 Email:  
 Phone:

Signature:

Date:

*Student/Main researcher*

Name of the main researcher:

Position:

Organisation:

Email:

Phone:

Signature:

Date:

*Studbook keeper*

Name of the ISB keeper:

ISB:

Email:

Signature:

Date:

## General Data Protection Regulation for International Studbooks matters

\*For information on how your personal data will be used.

<b>Controller</b>	WAZA ( <b>World Association of Zoos and Aquariums</b> ) CIF: G-67263244 Contact details: <a href="mailto:secretariat@waza.org">secretariat@waza.org</a>
<b>Purposes of the processing</b>	The Association processes your personal data for the purposes of the International Studbooks programme.  The legal basis for processing your personal data are based on a volunteer relationship that you maintain with the Association.
<b>Storage period</b>	The personal data provided will be stored for as long as deemed necessary, even after the termination of the volunteer relationship in order to guarantee the fulfilment of any legal obligation of the Association.
<b>Recipients</b>	The data will not be assigned to third parties except it exists a legal obligation.
<b>Third parties' data</b>	In the event that, during the volunteer relationship, you facilitate to the Association personal data from third parties with whom you maintain a professional relationship, you warrant to have the authority to facilitate the referred data and that you have informed and obtained the third party's consent for communicating that data. Nonetheless, the Association will act in good faith in relation to the processing of the referred third party data.
<b>Security measures</b>	The Association informs you that we have the necessary technical and organizational security measures installed to guarantee the security of your personal data and avoid its alteration, loss, processing and/or non - authorized access.
<b>Secrecy obligations</b>	You are bound by the professional secrecy towards any of the personal data to which you may have access within the framework of the volunteer relationship, and you should only process them according to the instructions of the Association. Even after the termination of the professional relationship, this duty of secrecy will survive as it is an undefined duty.
<b>Rights</b>	You have the right to obtain confirmation from the Association that your personal data are being processed. You have the right to exercise the following rights: opposition, access, correction, erasure, restriction, data portability, revocation of consent and to challenge any decision based on the automated processing of the data.
<b>Additional information</b>	If you wish to obtain more information about the data protection and security of the Association and the processing of your data, you may contact us at: <a href="mailto:secretariat@waza.org">secretariat@waza.org</a> or send your request to the Association's registered office together with your identity document: C/ Roger de Llúria 2, 2-2. 08010 of Barcelona (Spain)

## Appendix 2

### NON-DISCLOSURE AGREEMENT

#### Access to International Studbook Data-

This Non-disclosure Agreement or ("Agreement") has been entered into on the date of XXX and is by and between:

Party Disclosing Information: The World Association of Zoos and Aquariums (WAZA) with a mailing address of Carrer Roger de Llúria 2, 2-2, 08010 Barcelona, Spain ("Disclosing Party").

Party Receiving Information: [Party RECEIVING Information] with a mailing address of [MAILING ADDRESS] ("Receiving Party").

Signature of this non-disclosure agreement signifies that you understand and agree to the 'Terms & Conditions' below in full and waives the rights to contest any legal action brought against them by WAZA as a result of any such infraction.

If this agreement is broken, WAZA reserves the right to take legal action in their legal country against both individuals and/or institutions.

### Terms & Conditions

#### *Access, storage and interpretation of the data*

1. Only the student and the direct supervisor will have access to the data requested.
2. The data will be stored anonymously and used only for the educational purpose of fulfilling the requirements of the degree.
3. The institutions mentioned on the International Studbook (ISB) will not be contacted without the approval of the ISB keeper and the WAZA Executive Office.
4. The shared data will be removed when they are no longer needed or after 30 months since the data were shared, whichever is the soonest. The period for live access to the ISB will be for a year. Any extension request should be addressed to the WAZA ISB Coordinator.
5. It is strongly encouraged to contact the ISB keeper prior to the analysis of the data to ensure there are no misinterpretations of the data.

#### *Publishing and sharing results*

1. There should be an intention to publish the research findings for wider scientific scrutiny and benefit, ideally in open access journals.
2. The ISB keeper and the WAZA ISB Coordinator will be sent an electronic copy of the manuscript before its publication. The WAZA ISB Coordinator will in their turn, share the copy of the manuscript with the WAZA CPM.
3. If the ISB keeper or WAZA ISB Coordinator have any concerns regarding misinterpretation of any data obtained from the ISB they manage, those must be addressed before the research is published.
4. The WAZA Committee for Population Management reserves the right to block publication and presentation of results if agreement cannot be reached on the content of the manuscript.

5. No dissemination of the work through conference presentations or publication or use of the data for any other purpose will take place without further express permission of the ISB keeper and the WAZA Executive Office.
6. An electronic copy of any publication using the data from the ISB, should be sent to the ISB keeper and WAZA ISB Coordinator via email. All publications (including talks and posters) using WAZA ISB data must include a suitable acknowledgement (*e.g.*, “The data were originally collected by the WAZA *Species* ISB keeper”) and citation of WAZA publications relevant to understanding the data collection (*e.g.*, WAZA International Studbooks Manual, the International Studbook). This policy covers all of the ISB data.

Representative of the World Association of  
Zoos and Aquariums  
Name:

Representative of the participating  
organisation  
Name:

Signature:

Signature:

Date:

Date:

*Appendix 3: Summary flowchart for Research proposal from outside the zoo and aquarium community*

