

**RESEARCH OR TEACHING
INVOLVING ANIMALS**

University Policy No: RH8110
Classification: Research
Approving Authority: Vice-President Research
Effective date: June, 2014
Supersedes: December, 2010
Last Editorial Change:
Mandated review: December, 2017

Associated Procedures and Appendices:

[Procedures for Conducting Research or Teaching Involving Animals](#)
[Animal Care Committee Terms of Reference](#)

PURPOSE

1.00 The purpose of this policy is to set out provisions to ensure that all research or teaching involving animals at the university is conducted in accordance with current requirements of the Canadian Council on Animal Care.

SCOPE

2.00 This policy and its associated procedures apply to all faculty, staff, Post-Doctoral Fellows and students conducting research or teaching at the university that involves animals regardless of the source of funding supporting the activity.

2.01 This policy and its associated procedures also apply to external researchers using the University of Victoria's research facilities.

POLICY

3.00 All research or teaching at the university involving animals shall be carried out in accordance with the Canadian Council on Animal Care's (hereinafter referred to as the "CCAC") current requirements as a minimum standard and with the university's [Procedures for Conducting Research or Teaching Involving Animals](#) if these standards exceed those set by the CCAC.

4.00 All research or teaching involving animals by university faculty, staff, Post-Doctoral Fellows, and/or students requires approval from the university's Animal Care Committee before commencement.

4.01 Faculty, staff, Post-Doctoral Fellows and/or students wishing to conduct research or teaching using animals in any manner must complete an application for review by the Animal Care Committee.

- 5.00 The President has delegated responsibility to the Office of the Vice-President Research to implement and uphold the CCAC requirements on behalf of the University.
- 6.00 The Vice-President Research (or designate) will establish committees or other mechanisms to:
- (a) conduct reviews of applications for use of animals;
 - (b) provide administrative support for review of animal-use applications and for educating the university community about animal care; and
 - (c) provide an appeal mechanism for decisions on reviews of animal-use applications.
- 6.01 The details of these committees and mechanisms are contained in the [Procedures for Conducting Research or Teaching Involving Animals](#) and [Appendix "A"](#).
- 7.00 Failure to adhere to animal research ethics policies and procedures will result in an investigation conducted by the Office of Research Services and may result in disciplinary action in accordance with the university's Policy on Scholarly Integrity (AC1105) and the Framework Agreement or applicable collective agreement.

AUTHORITIES AND OFFICERS

- i) Approving Authority: Vice-President Research
- ii) Designated Executive Officer: Vice-President Research
- iii) Procedural Authority: Vice-President Research
- iv) Procedural Officer: Associate Vice President Research Operations, Office of Research Services

RELATED POLICIES AND DOCUMENTS

[Procedures for Conducting Research or Teaching Involving Animals](#)
[Appendix "A" – University Animal Care Committee Terms of Reference](#)
[Research Policy \(RH8100\)](#)
[Research Involving Humans \(RH8110\)](#)
[Policy on Scholarly Integrity \(AC1105\)](#)
[Post-Doctoral Fellows Policy \(HR6310\)](#)

[Canadian Council on Animal Care \(CCAC\) policies and guidelines](#)

PROCEDURES FOR CONDUCTING RESEARCH OR TEACHING INVOLVING ANIMALS

Procedural Authority: Vice-President Research
Procedural Officer: Associate Vice-President Research
Operations
Parent Policy: [Research or Teaching Involving Animals](#)

Effective Date: December, 2010
Supersedes: New
Last Editorial Change:

PURPOSE

1.00 The purpose of this document is to set out the procedures for conducting research or teaching at the University of Victoria (university) in compliance with the standards determined by the Canadian Council on Animal Care and the university's policies.

DEFINITIONS

For the purpose of this procedure:

- 2.00 **Home Institution** means the University of Victoria.
- 3.00 **Host Institution** refers to any other institution that has an animal care committee and where a researcher from the University of Victoria is doing research involving animals.

PROCEDURES

- 4.00 The university is committed to the highest standards in animal care and to the humane treatment of animals used in research, teaching and testing under the aegis of the university.
- 4.01 The university's standards for use and care of animals for research, teaching and testing purposes are determined by the Canadian Council on Animal Care (hereinafter referred to as the "CCAC") as set out in the [CCAC policies and guidelines](#).

The Associate Vice- President Research Operations AVPRO is delegated by the Vice-President Research to have the administrative responsibility for:

- providing administrative support for the Animal Care Committee;
- conducting scientific merit reviews under section 14.00 as required;
- offering education to the university community about animal welfare; and
- providing support for the appeal process under section 21.00

- 5.00 The university maintains an Animal Care Committee (hereinafter referred to as the "ACC") responsible for administering university policies and procedures on research or teaching involving animals.
- 5.01 The ACC's membership and meeting protocols are set out in the Terms of Reference ([Appendix "A"](#)).
- 6.00 The ACC shall review and approve all applications for use and care of animals in research, teaching and testing prior to protocol commencement. The ACC shall conduct an assessment to ensure that the applicant's proposed procedures and care are ethically acceptable, and that the number of animals proposed to be used is appropriate.
- 6.01 Failure to obtain approval of the protocol means that the proposed activity involving use of animals cannot proceed.
- 7.00 Once approval has been granted, failure to adhere to conditions of the approved protocol can result in suspension of the activity. The signature of a faculty member and/or Manager, Animal Care Services (ACS), and senior laboratory instructor on teaching protocols on the Animal Use Protocol (AUP) constitutes a commitment to adhere strictly to applicable requirements. Trainees and staff must apply through a faculty supervisor.
- 8.00 The university will acquire and maintain only the number and type of animals that the facilities and resources can receive and accommodate in accordance with applicable requirements. The approval of a protocol or the authorization of an application for a research grant or contract does not guarantee that the university will be able to acquire, house, and care for the laboratory animals if, at the time the work is to proceed, the capacity of the university's facilities is otherwise utilized. Under such circumstances, the research may have to be modified or rescheduled or funds may have to be allocated for expansion or modification of the needed facilities.
- 9.00 Faculty, staff, Post-Doctoral Fellows and students who use animals for research, teaching and testing are expected to be familiar with applicable university policies and procedures and the policies and guidelines of the CCAC.
- 9.01 Failure to adhere to the policies and procedures as set out in 9.00 will result in an investigation conducted by the Veterinary Director in consultation with Animal Care staff. The results of the investigation will be provided in the form of a notable event report to the Chair of the ACC and the Associate Vice-President Research Operations(AVPRO), copied to the appropriate animal care protocol holder. Depending on the nature of the incident, the Veterinary Director will provide recommendations on action, which may include the clarification or modification of procedures in the AUP, amendment of the AUP in question, cessation of the research undertaken under the AUP, the withdrawal of access to

animal care facilities by the protocol holder, while follow-up is conducted by the ACC Chair and/or Veterinary Director, as may be deemed appropriate.

10.00 All applications to use animals for research, teaching and testing are reviewed by the ACC. The ACC is responsible for ensuring that:

- (a) all research involving animals is peer-reviewed by external funding agencies, or be subject to review according to [the Research and Teaching Involving Animals policy \(RH8110\)](#).
- (b) teaching projects involving animals must first be subject to pedagogical merit review by the relevant department.
- (c) animal care and experimentation meets CCAC policies and guidelines.

10.01 The procedures for approval of an AUP by the ACC are:

- (a) The Principal Investigator (PI) submits the completed electronic AUP form and one signed hard copy of the application to the Animal Ethics Liaison using the electronic forms available on the research website.
- (b) The Animal Ethics Liaison distributes the AUPs received before the posted deadlines in advance of the ACC meetings to members of the ACC. The protocols are posted on the ACC Sharepoint site and are distributed as hard copy to the ACC members on request.
- (c) The applications are discussed by the ACC members at the next meeting. The protocols are either accepted by the ACC, accepted with revisions, or not accepted with the possibility of resubmission. Questions and concerns are communicated to the PI along with any revisions requested by the Committee.

10.02 Any AUPs that are not completed within one year must be reviewed and renewed by the ACC on a yearly basis, to a maximum of three consecutive renewals, after which a new protocol must be submitted. The ACC also reviews requests for all amendments, except personnel and funding changes, to approved AUPs.

Responsibilities and Authority of the University Veterinary Director

11.00 The university Veterinary Director is responsible for the welfare of all animals in the care of the university for the purposes of research, teaching and testing and has the authority to stop any objectionable procedure or practice if he/she considers that unnecessary distress or pain is being experienced by an animal. Such action shall immediately be reported to the ACC, through the ACC Chair and to the AVPRO.

12.00 The university Veterinary Director is responsible for developing and implementing a plan through the Animal Care staff to ensure that the university meets the requirements of the CCAC and all other regulatory bodies relating to the welfare of research and teaching animals and their safe and ethical use.

13.00 The university Veterinary Director has the authority to:

13.01 immediately stop any use of animals that deviates from the approved use, involves a non-approved procedure or individual, or includes procedures causing unforeseen pain or distress to animals.

13.02 treat, remove from a study, or euthanize, if necessary, an animal according to the Veterinary Director's professional judgment. The Veterinary Director must attempt to contact the user whose animal is in poor condition before beginning any treatment that has not been previously agreed upon and must also attempt to contact the ACC Chair, but has the authority to proceed with any necessary emergency measures whether or not the animal user and ACC Chair are available.

13.03 approve a minor amendment to a current animal care protocol, at his/her discretion, on behalf of the ACC. Such minor changes would include but are not limited to: source of animal; location of the animal accommodation or experimental area; addition of personnel; minor changes in procedures or minor change in animal numbers. All such amendments are to be reported in writing to the Chair of the Animal Care Committee and Animal Ethics Liaison

Actions taken under 13.01 – 13.03 shall be reported to the ACC, through the ACC Chair.. In the case of minor amendments to protocols approved under 13.03 , the amendments are given formal approval at the next scheduled Animal Care Committee meeting.

Review of the Merit of Research Involving Animals

14.00 All research involving animals must be peer-reviewed for scientific merit.

14.01 This condition is filled when and if the funding is awarded from a sponsoring agency that conducts adequate peer review for scientific merit as part of its competitive funding award process and reference to this process is provided. In the event that a proposal was not funded in a competitive funding competition, but received a favourable review(s), the PI can provide this assessment along with the research proposal for consideration by the ACC. Additional peer review may be required to meet the requirements in 14.05.

14.02 When the requirement in 14.00 is not met as described in 14.01, the AUPs for research can be evaluated by the ACC, but final approval must be contingent on later receipt of peer reviews.

- 14.03 The responsibility for obtaining scientific peer review of the project is delegated to the AVPRO. The PI will be informed of the process and the likely time frame (estimated 3 – 4 weeks). If the PI wishes to expedite the process through the provision of honoraria for the reviewers, this option will be explored when the reviewers are contacted.
- 14.04 The PI must submit a formal research proposal to the Animal Ethics Liaison . The PI must also provide a list of three potential reviewers. The PI may also provide a list of excluded reviewers.
- 14.05 The AVPRO will arrange a confidential peer review of the proposed work by appointing three knowledgeable arms-length external or internal referees, to include at least one reviewer selected from the list provided by the PI.
- 14.06 Each referee will be asked to complete the Peer Review Form on the merit of the proposed work to the AVPRO. If the referees' reports indicate that the proposal has sufficient scientific merit, the AVPRO will so indicate to the Chair of the ACC. If the reports do not indicate sufficient scientific merit, the applicant will be advised and given the opportunity to revise the proposal in response to the referees' comments.
- 14.07 If an application to an external funding agency requires an AUP as a condition of submission, the AUP will be considered by the ACC in advance of funding being awarded. Activation of the AUP will be conditional on receiving the funding.

Review of the Merits of Teaching Involving Animals

- 15.00 The ACC encourages the consideration of alternatives to live animals in teaching as well as research wherever possible but recognizes that it often is not possible to provide adequate instruction for students of the life sciences without the use of live animals.
- 16.00 Each department that uses animals in teaching shall establish a policy on use of animals in teaching and a standing pedagogical review committee. Departments shall consider the instructional value added provided by the use of live animals and the extent to which the use of live animals can be replaced by other modalities. The pedagogical review committee will examine and approve the pedagogical merit of all teaching protocols prior to their submission for consideration by the university ACC.
- 17.00 Acquisition, maintenance, and housing of animals used for teaching will be subject to the same requirements, guidelines, and constraints that are applied to animals used for research.

- 18.00 All persons involved in the use of animals in teaching, including but not limited to faculty and instructors, will at a minimum have successfully completed the animal training course mandated by the ORS for all animal users at the university. In addition, instructors or others who handle live animals for teaching purposes shall first demonstrate their competence to do so, to the satisfaction of the Veterinary Director or their delegate. Post-approval monitoring by ACS staff will occur as in research protocols.
- 19.00 **Post-Approval Monitoring**Post-Approval Monitoring of On-Site Projects: Reporting to and working with the ACC, the university Veterinary Director and ACS staff routinely and regularly conduct post-approval monitoring of all AUPs. This includes assessment of animal health and of competence of personnel. Reports, including a comprehensive summary, will be provided for each renewal of a protocol or as requested. On a biannual basis, the ACC delegates tour animal care facilities and meet with research teams to discuss how their work is proceeding and review any issues or concerns.
- 20.00 Post-Approval Monitoring of Off-Site Projects: Where possible, off-site monitoring will take place as described in 19.00 or by an appropriate delegate. Post-approval monitoring in the case of most field studies will include a satisfactory progress report, which must be submitted prior to re-approval of the protocol. Any required external agency certificates or permits required to conduct the research must be attached with renewals. The progress report must include details on the number of animals used (both target and non-target), and on all untoward incidents and how they were addressed.

Appeal Process for Research Involving Animals

- 21.00 Applicants for an AUP may appeal a decision of the Animal Care Committee.
- 21.01 The appeal must be filed in writing to the Chair of the ACC outlining the perceived process error within 30 days of receipt of notification of decision from the ACC. The Chair of the ACC will respond to the applicant in writing with a decision within 30 days of the subsequent ACC meeting.
- 21.02 If the applicant is not satisfied with the decision, the applicant will indicate this in writing to the AVPRO within 30 days of receiving the decision of the ACC. The AVPRO will strike an ad-hoc committee to consider the appeal. The committee will include at least one senior researcher familiar with the subject of the protocol, a lay member, neither of whom is currently a member of the ACC, and the university Veterinary Director.

21.03 If the applicant is not satisfied with the decision of the ad-hoc committee, the applicant will indicate this in writing to the Vice-President Research within 30 days of receiving the committee's decision. The Vice-President Research will consider the submission and respond to the applicant with a decision within 30 days. The Vice-President Research's decision shall be final.

In-Principle Review of Tri-Council Research Proposals involving Animals

22.00 The Tri-Council Memorandum of Understanding Schedule 3.2.1. (Updated 2008-04-01) requires institutions to release research funds to researchers only after an Institutional Animal Care and Use Committee (IACUC) has approved the research. The Memorandum of Understanding statement is as follows:

"The review can be a formal review of the detailed protocol or it can be a two stage process if the activities involving animals will only take place in a future fiscal year and the methodology still needs to be determined. In the latter case, funds may be released, on a pro-rated basis, following the in-principle approval of the research protocol for activities up to the start of the work involving animals. In any case, the research must maintain IACUC approval for the duration of the project."

23.00 As needed, the Chair of the ACC will establish a sub-committee of at least three members, one of whom is a veterinarian on the ACC. The sub-committee will review all Tri-Council applications for research involving animals submitted from the university to the fall and spring Tri-Council competitions. The sub-committee will provide notice of in-principle approval in writing to the applicant with a copy to the AVPRO with any comments or concerns identified during the review.

23.01 If the application is supported by the Tri-Council, the in-principle approval allows the university to release the funds for activities other than the work involving animals. The researcher must submit a full AUP application and have ACC approval before commencing any work involving animals.

Guidelines for Collaborative Research Projects with other Institutions Involving Animals

24.00 A researcher who is doing work involving animals at a Host Institution must:

- (a) obtain conditional approval for the protocol from the University of Victoria Animal Care Committee;
- (b) provide the Host Institution with the conditional approval from the Home Institution;
- (c) apply for approval for an animal care protocol at the Host Institution and provide a copy of the approved protocol and any conditions to the Home Institution. The Home Institution will then add the conditions from its protocol.

- 25.00 Where a researcher is conducting collaborative animal based work that is divided between animal facilities at multiple Host Institutions, the ACC at each institution must receive an animal use protocol that:
- (a) describes the specific work being completed at that institution.
 - (b) provides an overview of the whole project.
- 25.01 Animal transfers must occur with protocols agreed upon by all institutions involved in the transfers.
- 25.02 The Chair of the ACC shall inform the Chair of the ACC of other institutions whenever a protocol involving the other institution is rejected.
- 26.00 Where there is no comparable Animal Care Committee at the Host Institution or site, the University of Victoria ACC will provide the AUP review with reference to the specific conditions or facilities provided at the Host Institution. There may be additional resources required for post-approval monitoring at remote sites that will be charged back to the project.

APPENDIX "A" – ANIMAL CARE COMMITTEE TERMS OF REFERENCE

Mandate

- 1.00 The mandate of the university Animal Care Committee (ACC) is to determine the ethical acceptability of all research, teaching and testing involving vertebrate or cephalopod animals that is conducted under the auspices of, or by, members of the university and to ensure proper implementation of the university's Research or Teaching Involving Animals policy and its associated procedures.

Responsibilities of the ACC

- 2.00 Review, propose or require modifications to approve and/or reject any proposed research, teaching and testing project involving animals, including housing.
- 3.00 Provide ongoing ethical review of research and teaching that has been approved by the ACC.
- 4.00 Ensure that animal users and animal care personnel are properly trained in all relevant procedures.
- 5.00 Liaise with regulatory committees including Biosafety Committee (BSC), Diving Safety Committee (DSC), Hazardous Materials Committee (HMC) and Radiation Safety Committee (RSC) as needed; (). In addition, the ACC will liaise with the Campus Security Committee and Emergency Planning Group when necessary.

Membership and Meetings

- 6.00 All members of the ACC are appointed by the Vice-President Research in consultation with the Associate Vice-President Research. ACC members will normally be appointed for terms of two years, renewable up to a maximum of eight consecutive years of service, except in the case of ex officio members.
- 6.01 The membership of the committee may vary as determined by the needs of the university and includes:
- (a) The Chair of the ACC is a faculty member appointed by the Vice-President Research, normally for a period of up to two years, with the possibility of one renewal of up to two years (non-voting, except in the case of a tie)
 - (b) At a minimum, the ACC will be appointed by the AVPRO and will consist of:
 - The Veterinary Director (Ex-officio, non-voting).
 - Scientists, normally faculty or affiliated faculty, with experience relevant to the types of protocols reviewed by the ACC. This should include at

least one scientist experienced in field work, one scientist experienced with aquatic species, two scientists experienced in mammalian species. The ACC Chair may at their discretion seek additional expertise on a case by case basis (all voting).

- At least one institutional member whose normal activities, past or present, do not depend on or involve animal use for research, teaching or testing (voting).
- At least one person representing interests and concerns of the community, who has no affiliation with the institution, and who is not involved in animal use for research (voting).
- The representative from Occupational Health, Safety and Environment with responsibility for animal care services and facilities (non-voting).
- A technical staff member representative from Animal Care Services, preferably with experience in both aquatic and mammalian species (non-voting).
- A graduate student member, recruited through the Graduate Students' Society and appointed for a period of one year (non-voting).
- The Animal Ethics Liaison (ex-officio, non-voting).

A quorum will be at least five members of the ACC including a community representative, a veterinarian and a researcher actively using animals.

Meetings

- 7.00 Meetings will be held monthly from September to June. Other meetings may be called by the Chair as necessary.
- 8.00 At the discretion of the Chair, with justification provided by the Principal Investigator, ad hoc subcommittees can be appointed by the Chair to conduct interim AUP reviews. Interim reviews are an exception and must be justified to the satisfaction of the Chair.
- 8.01 Such subcommittees must include at least 3 members of the ACC: a veterinarian, a community representative, and a faculty member.
- 8.02 Interim decisions must be ratified at the next full ACC meeting.
- 9.00 Minutes of all ACC meetings shall be prepared and maintained and include all decisions, dissents, and the reasons for them. The deliberations of the ACC shall be treated as confidential.
- 10.00 Following deliberation, the Committee makes a decision as to approval, and/or recommendation for changes, or rejection of the applications. This decision is normally reached by consensus. If consensus cannot be reached, the decision is made by a simple majority vote with the Chair casting a vote in the event of a tie.

11.00 Tours of all animal facilities and examination of the standard operating procedures and protocols used within the facilities, to ensure that CCAC policies and guidelines are being followed, will be conducted at least annually and shall normally be performed by subcommittees of the ACC.

Authority

12.00 The ACC through its Chair has the authority to act on behalf of the Vice-President Research to:

- stop any objectionable procedure if it considers that unnecessary distress or pain is being experienced by an animal;
- stop immediately any use of animals that deviates from the approved use, involves a non-approved procedure, or includes procedures causing unforeseen pain or distress to animals; and
- have an animal killed humanely if pain or distress caused to the animal is not part of the approved protocol and cannot be alleviated.

13.01 In taking these actions, the ACC will seek the recommendation of the Veterinary Director.