PREAMBLE

The purpose of the Carleton University Animal Care Committee (ACC) is to oversee the animal care and use program related to the ethical treatment of any animal used in research, teaching and/or display at Carleton University. The operation of the ACC adheres to the guidelines and policies established by the Canadian Council on Animal Care (CCAC) and in accordance with standards set by the Ontario Ministry of Agriculture, Food and Rural Affairs (OMAFRA). The ACC at Carleton University has complete authority in matters of animal (vertebrate and cephalopod) procurement, welfare and use by students, staff and faculty of Carleton University whether on or off campus. The ACC's jurisdiction encompasses all research, teaching and collection procedures involving the use of animals at Carleton University and its affiliated institutions. This extends to animals obtained from, or studied in, the field by the University and its personnel. The ACC acts on behalf of, and reports to, the Vice President (Research and International), henceforth VP (R&I), of the University.

The procedural duties (i.e., Terms of Reference) of the ACC shall be reviewed periodically to maintain adherence to new or revised procedural obligations identified by the CCAC, OMAFRA and/or other relevant statutory agencies. Regular review of the Terms of Reference will take place at least every 3 years for modification and approval.

Ethical principles and policies guiding the ACC will be reviewed periodically according to new or revised recommendations on ethics of animal use in research, teaching and display are forthcoming from the CCAC, OMAFRA, and/or other relevant statutory agencies including the Canadian Institutes for Health Research (CIHR) and the Natural Sciences and Engineering Research Council of Canada (NSERC). These Terms of Reference will be updated as needed to reflect changing policies of the above-named bodies as well as those approved by the ACC of Carleton University. Policies and Standard Operating Procedures will be generated to cover all motions involved in the day-to-day operations of the ACC and policies that apply to animal-based research, teaching and display at Carleton University.

# Membership

ACC members, assigned to a specific role, will be appointed for terms of no less than two years and no more than four years, renewable up to a maximum of eight consecutive years of service. This does not apply to ACC members who must be part of the ACC because of their role within the institution (ex officio members): the ACC Coordinator and the consulting veterinarian. All members, unless specified, are appointed by VP (R&I). The complement of the committee includes:

1. ACC Chair. In principal, the Chair of the ACC should be a faculty member at rank of Associate Professor or higher (including Emeritus) appointed from one of the main animal user departments (Biology or Neuroscience) and it is strongly recommended that the Chair be tenured.
2. A faculty member, experienced in animal care and use, appointed from the Department of Neuroscience.
3. A faculty member, experienced in animal care and use, appointed from the Department of Biology.
4. A faculty member, experienced in animal care and use, appointed from any department, other than Neuroscience or Biology, that employs rodent models.
5. A consulting veterinarian with experience in research, laboratory animal care and use.
6. An academic faculty member whose normal activities, past or present, do not depend on or involve animal use for research, teaching or testing.
7. At least two and preferably three, community members (community representatives) representing community interests and concerns, and who are not affiliated with the University and have not been involved in animal use for research, teaching or testing.
8. Animal lab technician who works directly with animals.
9. Animal Care Coordinator (non-voting, ex-officio)
10. At least one and preferably two, graduate student representatives from the main animal-user departments.
11. A representative from the Office of Environmental Health & Safety at Carleton University
	1. For notes on membership, please see Appendix A

# Quorum, Meeting Attendance and Minute

## The ACC will meet eight to twelve times per year; more often if the need arises. The ACC will generally meet once a month with meeting dates and times posted on the Research Ethics and Compliance website.

## A quorum consists of 50% +1 members and must include at least one community representative, faculty member serving as scientist and consulting veterinarian.

##  Any ACC member who cannot attend shall send their regrets. A committee member may request to be inactive for up to 3 meetings if a known absence is forthcoming (e.g., field work, vacations). Longer requests will be granted at the discretion of the Chair.

## ACC members who are unable to attend a meeting may submit written comments during the review process to be discussed at that meeting.

## Investigators may be invited to ACC meetings to answer questions about their research, and if necessary, present their case if the ACC is considering not approving a protocol. The Investigator will not be present during final deliberations.

## In the interests of moving the meetings forward smoothly, the Chair will follow the agenda as outlined. As a member of the ACC, if you wish to change the agenda order or add an item, please do so within one day of receiving the agenda, so that your request can be considered.

## Minutes detailing ACC discussions, decisions and requested modifications to protocols will be produced for each meeting and distributed to ACC members and once reviewed and approved by the ACC sent to the VP (R&I). The Animal Care Coordinator will keep all minutes on file for a minimum of three years. The VP (R&I) and Director of Research Compliance will be kept apprised of any issues of concern that arise and resolutions reached.

## Members of the ACC will visit all Carleton University facilities (and any associated off-campus animal use facilities) where animal use takes place at least once per year. The purpose of these visits is to better understand the research/teaching being conducted and to monitor animal-based work according to approved protocols and standard operating procedures (SOPs) and to assess any strengths or weaknesses in animal care program, such as overcrowding, insufficient staffing or facility management. Recommendations or commendations are forwarded to the person(s) responsible for the facilities and for animal use. In the case of a recommendation, it is expected that a response will be submitted to the ACC with a plan of action. Each visit will be documented through reports written by the ACC Chair. These reports are forwarded to the VP (R&I).

# Subcommittees

## Ad hoc subcommittees may be formed for the execution of a particular finite task (e.g., work on specific areas such as protocol review or development of SOPs.

## Subcommittees operate under the jurisdictions of the full Committee. Conditions for the expiry of ad hoc subcommittees will be specified by the Committee at the time the subcommittee is formed.

## The ACC may delegate the responsibility of interim approvals to an interim approval subcommittee, which must include at least one scientific member (could be the ACC Chair if that individual is a scientist), the consulting veterinarian, one community representative and the chair of the ACC. Such interim approvals should be used infrequently and the interim review process, including exchanges between the ACC and protocol authors, must be documented and must be subject to discussion and final approval/ ratification at a full meeting of the committee.

## Copies of all documents used by subcommittees are to be filed with the ACC Coordinator. The ACC Chair will provide an update to the full committee of any subcommittee activities and documentation provided to all members of the ACC by the ACC Coordinator.

# Role and Reporting Structure of the ACC

The ACC Chair represents the voice and will of the ACC members and reports to the VP (R&I) . The consulting veterinarian has an independent reporting line directly to the VP (R&I). The ACC Coordinator reports to the Office of the VP (R&I); typically, a delegate in the Office of Research Ethics, the Director. The general role of the ACC includes the following:

## Establish and monitor compliance with the guiding principles of the CCAC and OMAFRA for animal care in research, teaching, testing and display and any relevant university policies.

## Promote research practices that respect animals, support the integrity of researchers and foster a collaborative environment with all animal users, animal care staff and governing bodies.

## Review all developmental plans for additions, expansions, and renovations of animal facilities.

## Offer guidance and assistance to anyone involved in research, teaching and testing involving live animals.

# Authority

## The consulting veterinarian is authorized by the VP (R&I) and the ACC under the auspices of the CCAC to treat, remove from a study or euthanize, if necessary, an animal according to the consulting veterinarian's professional judgment. The consulting veterinarian will attempt to contact the animal user whose animal is in poor condition before beginning any treatment that has not previously been agreed upon, and will also attempt to contact the ACC Chair. The consulting veterinarian must have the authority to proceed with any necessary emergency measures, whether or not the animal user and ACC Chair are available. A written report will be sent by the consulting veterinarian to the animal user and to the ACC following any such event.

## The ACC has the authority, on behalf of the VP (R&I) of the institution and the CCAC 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, which deviates from the approved use, any non-approved procedure, or any procedure causing unforeseen pain or distress to animals.

### Euthanize an animal if pain or distress caused to the animal cannot be alleviated. This decision should be made in conjunction with the consulting veterinarian, Investigator and/or ACC Chair. The communication to stop objectionable procedures or any non-compliant use of animals, and/or the need to euthanize an animal, will come directly from the ACC Chair or consulting veterinarian.

## The Chair of the ACC and consulting veterinarian must have access at all times to all areas where animals are or may be held or used.

# Responsibilities of the ACC

## Protocol Approval

### No animal-based research, breeding, teaching or display of animals will begin without prior ACC approval of a written Animal Use Protocol. This includes, but is not limited to, new laboratory or field-based research studies, renewals of approved projects, teaching programs/ courses and amendments to protocols with new procedures or any other deviations from previously approved protocols. No animals will be acquired (purchased or bred) or used before such approval.

### The Carleton University Animal Use Protocol Forms (one for laboratory-based studies and one for field studies) are maintained and updated as per recommendations from the CCAC or as required by the ACC. All information provided by the Investigators will be clearly presented in a form that all members of the ACC can readily understand (supplemental information can be found in the [CCAC guidelines on: animal use protocol review](http://www.ccac.ca/Documents/Standards/Guidelines/Protocol_Review.pdf), 1997). To facilitate the work of both protocol authors and ACC members, appropriate SOPs should be referred to as much as possible. All SOPs must be reviewed and approved by the ACC before putting procedures in place.

### Each protocol is reviewed annually and the ACC takes into consideration changes in standards and guidelines as well as developments in the replacement, reduction and refinement of experimental animal use.

### A one year approval period is granted with the possibility of three consecutive yearly renewals (four years total). Prior to the expiry of the one year approval period, the Investigator is sent reminder emails stating that the project will require renewal should the Investigator wish to continue the research. If the researcher will be continuing, an Annual Renewal is submitted; if research will not be continuing, a closure should be submitted. A complete new protocol is required after the full four year approval period. Allowing active protocols to expire when animal work continues is considered a breach of compliance.

### The ACC will not renew a protocol more than three times; after three renewals a new protocol shall be submitted.

##  Scientific Merit Review

The CCAC holds as one of its most basic tenets that animal use for researchbe undertaken only after a careful examination of the potential value of this use ([*CCAC policy statement on: scientific merit and ethical review of animal-based research*](https://ccac.ca/Documents/Standards/Policies/Scientific_merit_and_ethical_review_of_animal-based_research.pdf)). In the event that a proposed animal-based project has not been previously independently peer reviewed , a review process by knowledgeable, independent peers will be arranged by the Office of the VP (R&I) through the Associate Dean (Research and Graduate Studies), Faculty of Science, using forms based on CCAC guidance. This is outlined in the Scientific Merit Review policy, and is not the responsibility of the ACC; this responsibility rests with the Office of the VP (R&I). Scientific merit of a proposed animal-based research project will be confirmed to the ACC through the ACC Coordinator before a corresponding animal use protocol can be approved by the ACC.

## Pedagogical Merit Review

The CCAC holds as one of its most basic tenets that animal use for teaching be undertaken only after a careful examination of the potential value of this use. The CCAC policy: Pedagogical merit of live animal-based teaching and trainingrequires that there be a formal pedagogical merit review process in place for any proposed use of animals for teaching or training purposes. As outlined in the Pedagogical Merit policy, and working under the Associate Dean (Undergraduate Affairs) of the Faculty of Science, the Carleton Science Committee on Academic Planning (SCAP) will work with a veterinarian with expertise in the Three Rs to ensure that each proposed use of animals for teaching or training is reviewed for its pedagogical merit, using forms based on CCAC guidance. Pedagogical merit of a proposed animal-based research project will be confirmed to the ACC through the ACC Coordinator before a corresponding animal use protocol can be approved by the ACC.

##  Protocol Review

The ACC has an ethical, scientific, and social responsibility to apply protocol review and approval criteria in a fair, equitable and consistent manner. This requires the provision of complete and appropriate information by the Investigator. Guidelines for protocol review are included in Appendix B and are provided to assist ACC members and Investigators in obtaining a complete and accurate description of the proposed animal use.

## Interim Approvals

On occasion, the ACC may give an interim approval to a protocol or an amendment providing the protocol has been reviewed and approved by a sub-committee consisting of a scientist (could be the ACC Chair if that individual is a scientist), the consulting veterinarian, and a community representative. The ACC Chair may not give interim approval of protocols in which they are involved in the research protocol. The protocol with comments from the sub-committee is returned to the ACC Coordinator within seven days or fewer if urgency is requested by the protocol author. If no objections are raised, protocol is granted an interim approval but will not be fully approved at the next face-to-face ACC meeting. Interim approvals are reserved for research or teaching opportunities that are of a time-sensitive nature.

##  Pilot Studies

Pilot projects are to be submitted on an Animal Use Protocol Form with the indication, beside the title, that the study is a ‘Pilot Study’. The ACC encourages the use of pilot studies with few animals (example 4/ group not totaling more than 20 animals for the entire project) when new approaches, methods or products are being tried, before approving new, large scale protocols. Once the initial study is completed (it is essential to have clearly defined experimental endpoints), and if the Investigator wishes to continue with the study as a full scale protocol, the Investigator must submit a Pilot Study Report outlining results and plans for moving ahead with the project. Alternatively, if the Investigator does not wish to pursue the study, the Investigator is required to submit a report on the Pilot in order to preserve important data on various approaches to animal-based studies (whether they work well or not). Pilot studies require peer review for scientific merit.

## Amendment to a Protocol

During the course of the project, changes to the approved protocol may be requested by submitting an amendment. The amendment must be reviewed and approved by the ACC before changes can be carried out. The overall objective of the amendment must be the same as the approved protocol. The ACC has the authority to request a new protocol if the committee views the changes as major (see definition below).

### Minor Amendments

Minor amendments are changes to the protocol which may affect animal use or welfare but do not increase the category of invasiveness (e.g., increase in animal numbers, change in anesthetic agent or in use of analgesic agents, etc.)

### Major Amendments

Major amendments are changes that affect animal use or welfare, including, but not limited to, increasing the original category of invasiveness, addition of animal strains known to have specific housing/care requirements or health concerns, change from non-survival to survival surgery. Substantial modification may result in a request to submit a new Animal Use Protocol.

## Change to Personnel

The only change that does not require review at a face-to-face committee meeting is a change in personnel. If an Investigator adds or deletes personnel from the protocol, this must be written in the form of a Change to Personnel Form. An application for a change in personnel can be approved by the Chair of the ACC, the consulting veterinarian or a delegate member of the ACC.

## Post Approval Monitoring

Post Approval Monitoring of protocols and SOPs is the responsibility of the entire ACC and the ACC is fully supported by the VP (R&I). The goal is to foster a team approach with the Investigators/ animal users in providing ethical and sound care for animals used in research and teaching. It is incumbent upon the researcher/ animal user and the consulting veterinarian, as the personnel responsible for monitoring animal care and use, to keep the lines of communication open with all research teams and to provide assistance when necessary. It is the responsibility of all involved with animal use to report any unanticipated problems or complications, as well as the steps taken to address the problem(s), to the ACC.

The ACC relies on the animal care providers to bring to the attention of the committee persistent breaches of compliance or threats to the health and safety or welfare of animals. The Chair of the ACC (or their delegate when procedures in question involve the protocol of the Chair) is responsible for addressing these issues on behalf of the ACC with the animal user(s) through written communication or meetings and site visits. The ACC may request a progress report from an Investigator at any time on any active protocol to monitor compliance.

A Post Approval Monitoring Program is in place and the procedural details are outlined in the Post Approval Monitoring Program document approved by the ACC. Regular reviews of animal use protocols are carried out as described in the approved document.

## Confidentiality of Animal Use Information

In accordance with the Animals for Research Act (Ontario), and with CCAC and other established ethical standards, information collected by the Carleton University Animal Care Committee shall remain confidential, with the exception of regulatory reporting requirements. Such requirements include, but are not limited to, the annual animal use data provided by Carleton University to the OMAFRA and the CCAC that are submitted without the names of the users. ACC members shall maintain all discussions, deliberations, records and other information related to animal care and use as privileged and confidential, including information relating to intellectual property and experimental design.

## Compliance Statement

Matters of non-compliance are typically reported through ACC site visits and the monthly consulting veterinarian reports (veterinary logs are sent to the VP (R&I) on a monthly basis), but matters of non-compliance can be reported by anyone (e.g., animal care staff) as outlined in the Post-Approval Monitoring Program document.

The ACC must address any animal welfare problems including non-compliance with CCAC guidelines. Courses of action in terms of non-compliance may include, but are not limited to: a) temporary suspension of an active protocol, b) permanent suspension of a single protocol, or c) temporary or permanent suspension of all protocols held by the PI. If the problems are deemed to be largely due to actions of facility animal care staff responsible for the care of the animals in question who are not under the direct supervision of the Investigator, the ACC will document the problem to the Director of the relevant facility and Directors will take appropriate action.

## Appeal Procedure

### In the event that the ACC rejects a submitted protocol and the Investigator does not accept the decision, the following process will apply. The Investigator may request that the ACC reconsider its decision. This could include the submission of a revised protocol following feedback from the ACC via the Chair. Reconsideration may involve the Investigator meeting with the ACC so that they may thoroughly review and understand the details of the protocol. The ACC may seek scientific opinions from individuals who are not members of the ACC.

### If a PI, after exhausting all reasonable attempts to resolve disagreements cooperatively, disputes an ACC decision, the PI (appellant) may appeal that decision to VP (R&I).

### Only the VP (R&I), or designate, may hear an appeal of a decision of the ACC. An appeal may only be made on the grounds that there has been an error in process, procedural irregularity, lack of due process, and exceptions to precepts of natural justice such as bias

### The decisions of VP (R&I) are final and binding.

### The VP (R&I) shall hear an appeal from the same appellant against the same decision only once.

## Standard Operating Procedures (SOPs)

An SOP is a document that defines, in practical, user-friendly terms, specific animal care or use or facility management procedures. In particular, SOPs are important as a tool so that procedures involving animals are consistently carried out according to the most appropriate and current standards and to limit variations and errors due to changes in personnel or due to different persons (e.g. staff, students, weekend staff, etc.) carrying out procedures at different times. The ACC will review all Investigators’ SOPs at least once every three years. It is recommended that Investigators submit SOPs when the need arises.

## Training

All ACC members and animal users must become familiar with the [*CCAC Guidelines on Animal Care and Use*](https://ccac.ca/en/standards/guidelines/), [*CCAC policy statement on: ethics of animal investigation*,](https://ccac.ca/Documents/Standards/Policies/Ethics_of_animal_investigation.pdf)[*CCAC guidelines on: training of personnel working with animals in science*](http://www.ccac.ca/Documents/Standards/Guidelines/CCAC_Guidelines_on_Training_of_Personnel_Working_With_Animals_in_Science.pdf)*(2015)* and all other CCAC guidelines and policy statements, federal, provincial or municipal statutes that may apply, as well as institutional requirements. All of the above information is posted on the Carleton University Research Compliance website. ACC members and all animal users are directed to the site when joining the ACC.

A training website supported by Carleton University through Brightspace is available for all students, faculty and staff to provide initial and continued training as the need arises. Training of incoming researchers is coordinated by the ACC Coordinator, the animal care staff and the ACC Chair. Establishing clinical competency for all Investigators is the shared responsibility of the ACC and Animal Care and Veterinary Services.

It is the responsibility of all those involved in animal use to demonstrate competency in animal procedures deemed necessary for the successful completion of their specific teaching or research endeavor. This can be accomplished through individualized training with the consulting veterinarian or animal care staff or via lab personnel. If the latter, personnel must demonstrate an appropriate level of competency with the technique as deemed by animal care and/ or consulting veterinarian.

## Collaborations

Most animal use is undertaken by Investigators and teachers working within their own ‘home’ (Carleton University) institutions and overseen by their local ACC(s). However, in certain cases, Investigators and instructors undertake animal use in one or several ‘host’ institutions. In other cases, various parts of an animal-based project are carried out by several institutions. For guidance on how collaborative animal-based projects should be prepared by Investigators and teachers and overseen by institutional ACCs, please see Appendix C.

## Request to Release Funds/Approval in Principle

In the event that funds need to be accessed for preliminary research activities not using animals, prior to obtaining an ACC-approved animal use protocol, the Principal Investigator shall submit an Approval in Principle application. The ACC Chair or delegate will review the proposals for an Approval in Principle. The Approval in Principle can be used by the Carleton Office for Research Initiatives and Services (CORIS) to release funds in advance of submission of the complete application to the ACC for review and possible approval. No animals may be purchased or used prior to receiving formal approval from the ACC.

## Use of Animals in Teaching

### Alternatives to using animals must be considered and animals will only be used when no practical alternatives can be found for the purpose proposed;

### The expected benefits must outweigh the harm to the animals and active steps must be taken both to minimize the harm and maximize the benefits;

### The proposals to use animals for teaching must first have been approved by the head of the academic department and the Office of the Faculty Dean, followed by ACC approval;

### The work must be carried out in accordance with the CCAC guidelines;

### Such animal usage must be strictly in accordance with the legal requirements set down in the relevant legislation.

## Carleton University and the ACC support restraint in the use of animals for teaching and research by

### Keeping the numbers of animals to the minimum needed to achieve the desired purpose;

### Replacing animals by other models or systems wherever possible and encouraging the further development of such alternative models or systems.

# General

##  The Animal Care Committee:

### Will review its Terms of Reference to meet new or revised CCAC guidelines or policies and changing needs within the institution, the scientific community, the animal welfare community and society as a whole. The terms will be fully reviewed and revised as necessary every 3 years.

### Will regularly review the security of the animals and research facilities.

### Will review SOPs and institutional animal care and use policies every three years.

### Will maintain liaison with the CCAC Secretariat.

### Will submit complete and accurate animal use information in the CCAC Animal Use Data Form (AUDF) format for all protocols annually and also in pre-assessment documentation.

### Will develop and maintain a crisis management program for the animal facilities and for the animal care and use program, in conjunction with any general institutional crisis management plans(s).

### Will defer to the VP (R&I) or Department of Communications in the event that any researcher or ACC member is approached by the media or external party.

### Will make efforts to sponsor from time to time seminars or workshops on animal use in scientific research and teaching, and the ethics of animal experimentation, and encourage as many animal users, animal caregivers, students, ACC members and other interested parties to attend as possible.

### Will make all efforts to work with University Officials to achieve and maintain a high profile on campus and in the community in order to allay public concerns regarding animal experimentation.

### Will be open to developing and maintaining communication with animal welfare organizations.

### Must be prepared to cope with criticism, which may develop from time to time.

##  Chair of the ACC

### Call the meetings and remain sensitive to the concerns of other committee members.

### Signator of the approval letter/emails of all items reviewed and approved by the ACC.

### Address any animal welfare problems including non-compliance according to CCAC guidelines.

### Follow up on any proposals initiated by the ACC.

### Report to the Office of the VP (R&I).

### Be prepared to cope with criticism, which may develop from time to time.

## Animal Care Committee Coordinator

### Organizes ACC activities (i.e., meetings, site visits) and produces documentation on these events.

### Contributes to orientation/training of ACC members by assisting with the meeting logistics and to provide relevant resource materials and information.

### Receives new protocols, amendments and renewals and assists protocol authors to complete the non-scientific aspects of the protocol form.

### Manages protocols, amendments and renewals and corresponds with animal users with reminders and reporting of ACC decisions.

###  Contributes to the process of producing and updating ACC policies, forms and other documents.

### Contributes to institutional Post Approval Monitoring Program by tracking animal numbers and tracking training (i.e. if a new person is added to a protocol, the ACC Coordinator needs to confirm they have had the required theoretical training).

### Contributes to the process of producing and updating SOPs.

### Prepares and submits yearly statistical reports to CCAC and OMAFRA.

### Prepare all documentation for regular ACC meetings and inspection visits by CCAC or OMAFRA inspectors.

**Appendix A: Notes on Membership**

1. The Chair will not be directly involved in the management of the institutional animal facilities, nor be a clinical veterinarian for the institution, nor be an animal health or veterinary personnel member charged with ensuring compliance with CCAC guidelines, nor be involved in the preparation of a significant number of protocols to be reviewed by the committee, in order to avoid potential conflicts of interest.
2. Committee members will not participate in the review of their own protocols or annual reviews, nor shall they participate in the review of protocols and annual reviews submitted where they are a collaborating Investigator or alternate contact
3. Community representatives will be familiar with the [*CCAC Guidebook: Manual for Community Representatives*](http://www.ccac.ca/Documents/Assessment/Community_representatives_manual.pdf). The community must be represented for all ACC activities throughout the year.
4. The Animal Care Coordinator supports the committee’s work by managing animal use protocols, promptly reports and distributes committee minutes and reports, documents and files all exchanges between the ACC and animal users, amongst other duties as detailed below. The ACC Coordinator will work out of the office of the VP R&I.
5. Consulting veterinarian is a member of the committee as part of the role of the position.

**Appendix B: Protocol and Amendment Review**

1. Review and assessment of all animal use protocols are in accordance with the CCAC policy statement on: ethics of animal investigation and CCAC guidelines on: animal use protocol review as well as on all other relevant CCAC guidelines and policy statements. A protocol can only be submitted by a faculty member (not a graduate student or post-doc) or an individual involved in the training of research personnel that requires the use of live animals (e.g., Veterinary Technologist or Lab Coordinator). When necessary, the ACC will acquire further information from the Investigator/instructor make a request to the Investigator to meet with all members of the committee to explain to the ACC any procedures to be used on the animal. Protocol authors and members of their laboratories will not be present during ACC decision-making discussions on their own protocols, annual reviews or SOPs.
2. If any procedures in a submitted protocol do not comply with CCAC guidelines, the Investigator will be required to justify the variance on scientific grounds. The ACC discusses protocols and makes decisions on them during full committee meetings, rather than through individual reviews; decisions are reached by consensus.
3. Process:
4. Investigator submits electronic copy of protocol to ACC Coordinator at least 14 days prior to the next scheduled committee meeting.
5. Coordinator reviews protocol for errors and omissions of a non-scientific nature and, if necessary, sends it back to Investigator for correction.
6. Coordinator distributes protocol electronically to ACC members on a secure electronic forum
7. Questions/ concerns are posted by ACC members for entire committee to see. If, in the case a protocol author is also on the ACC, questions/ concerns are sent to the Coordinator who communicates with the author. Comments would normally be posted within 7 days of protocol submission.
8. If applicable, questions/ concerns can be addressed by the consulting veterinarian or ACC Chair.
9. Outstanding questions/ concerns are relayed to the Investigator for a response. This will typically happen prior to the face-to-face committee meeting.
10. Health and Safety issues regarding personnel are identified and forwarded to the Director, Environmental Health & Safety.
11. Animal numbers are only approved for the project and animal number use by year must be reported during the annual review process.
12. Protocol is discussed at the next face-to-face ACC meeting.
13. A protocol will normally be approved, conditionally approved, under review or withdrawn. A protocol that is considered conditionally approved will require the revised version to go to a sub-committee of 2 or 3, which will include the consulting veterinarian and community representative. A protocol that is considered under review will require the revised version to be reviewed by the full committee and presented at the next committee meeting for final approval.
14. Decisions and discussions are documented in the minutes and the Coordinator relays the decision to the Investigator.
15. Investigators will be referred to other university regulatory committees, such as the Biohazards Committee, if necessary.

**Appendix C : Collaborations**

## **Investigators and teachers carrying out animal-based work in host institutions**

The ACC is responsible for approving and monitoring the work carried out by all members of the institution who use animals for research, teaching or testing. Therefore, a member of an institution who wishes to carry out animal-based work within a host institution’s facilities must first submit a written animal use protocol describing the project to the ACC of his or her home institution. The home ACC must review the project making sure it meets the committee’s normal standards and does not contravene any institutional policies on animal care and use. The home institution’s ACC can approve the protocol in principle, conditional to the approval of the protocol by the host institution’s ACC.

The host institution’s ACC, having received the approval in principle of the protocol from the home institution’s ACC, can then review the protocol focusing primarily on whether the animals can be housed, cared for and used appropriately according to CCAC guidelines and policies, given the host institution’s facilities and resources. The host institution’s ACC must approve the protocol before the protocol can begin and normally before animals are acquired. It must also take responsibility, with the collaboration of the animal care and veterinary staff of the host institution, for oversight of the protocol and of the welfare of the animals to be used. The host institution’s ACC must inform the home institution’s ACC of its decision and of any relevant conditions or details accompanying the decision.

To facilitate this process for all of those involved, it is suggested that the use of a single protocol form be agreed upon by the ACCs and the Investigator, and that the chairs of each ACC communicate directly with each other to discuss any questions that either committee may have. This will minimize delays in the review process while ensuring that each committee is clearly informed and that each can make the most appropriate decision in light of this information.

1. **Animal-based projects undertaken in two or more institutions**

Investigators from two or more institutions may choose to undertake a collaborative project in which the animal-based work is to be divided between the animal facilities of the various institutions. For these projects, the ACC of each institution involved must receive a written animal use protocol detailing the animal-based work to be undertaken within the facilities for which it is responsible. This protocol must also provide a brief description of the project as a whole. Any interactions between the institutions relative to the animal-based work (e.g., transfer of animals from one institution to another, special requirements to maintain the health and welfare of the transferred animals, etc.) must be understood and accepted by the ACCs of each of the institutions involved.

The ACC of the home institution of the principal Investigator should normally take the lead in providing an ethical review of the most comprehensive protocol, and should coordinate and address questions and comments from the other ACCs involved.

**Reviewed and approved by members of the Animal Care Committee**

# Final Approval by Vice President (Research and International)

FIRST REVISED AND APPROVED VERSION August 24, 2009

SECOND REVISED AND APPROVED VERSION November 25, 2011

THIRD REVISED AND APPROVED VERSION December 17, 2014

FOURTH REVISED AND APPROVED VERSION 14 July 2016

FIFTH REVISED AND APPROVED VERSION 7 September 2019

SIXTH REVISED AND APPROVED VERSION 8 November 2022