



University of Guelph Animal Care Policy and Procedures Approved by the Animal Care Committee

I. THE POLICY

1. Preamble

The University of Guelph is committed to the betterment of society through its central activities of research and teaching. As such the University is committed to principles of conducting research and teaching in accord with the highest ethical standards. Given that the use of animals, in research and teaching, is a critical aspect of the work of the University of Guelph, the University is committed to ensuring that animals which are used for research and teaching (the latter, broadly understood to include animals used for educational exhibitions, and non-credit teaching) will receive care and treatment that meets or exceeds the standards outlined by provincial guidelines and statutes, and by the Guidelines of the Canadian Council on Animal Care.

More explicitly, as an institution situated in the Province of Ontario, the University is subject to the Animals for Research Act (Ontario) and its Regulations. As a recipient of research funding from the federal granting councils, the University "must adhere to the policies and guidelines of the Canadian Council on Animal Care"¹. Formal responsibility for ensuring the humane care and use of animals in all University programs is mandated both by the Animals for Research Act and by the guidelines of the Canadian Council on Animal Care (CCAC) to the University Animal Care Committee (ACC) which evaluates all activities involving animals within a framework of these standards and legislation. While adherence to these regulatory bodies is a condition of the University receiving external funding from the provincial and federal levels of governments, crucially, the University adheres to these principles as part of its mission to serve society, ethically.

The Animal Care Policy and Procedures is intended for application within the context of academic freedom which is recognized as commensurately carrying responsibilities. This document identifies such constraints in relation to the care and use of animals in University programs. Moreover, for the same reasons, it is expected that researchers from this University conducting studies in another jurisdiction shall, insofar as possible, comply with the requirements for animal care as they exist at the University of Guelph.

2. Definitions and Abbreviations

a) Animals for Research Act (the Act)

The current Animals for Research Act (Revised Statutes of Ontario, 1990, Chapter A.22), or future amendments, as administered by the Ontario Ministry of Agriculture and Food.

b) Canadian Council on Animal Care

A national agency, funded in part by the federal granting councils, that provides updated guidelines and policy statements on animal care and use in science.

c) Ministry Inspector

A member of the staff of the Ontario Ministry of Agriculture, Food and Rural Affairs who is responsible for determining if animal facilities comply with the Animals for Research Act.

d) Principal Investigator or Instructor

The faculty or professional staff member who has primary responsibility for the animals used in teaching or research and who is designated as such on the Animal Utilization Protocol.

¹ NSERC Program Guide: www.nserc.ca/guide/p7_e.htm

e) Standard Operating Procedures

A set of written instructions that document and inform a routine or repetitive activity.

f) Technical Staff

University staff member involved in animal procedures or care.

g) Veterinarian

A licensed veterinarian with the authority and responsibility to make determinations concerning animal health and wellbeing

h) Senior Administrator

Vice-President (Research) has the function of Senior Administrator, as defined in CCAC policy statement.

i) Convener

Convener administers Educational Merit Review Process and communicates the final decision to the Animal Care Committee. The incumbent cannot be a member of ACC or ACS staff and is appointed by the office of Vice President (Research).

j) ACC Coordinator

AUP Coordinator – attends ACC meetings and takes minutes for the AUP review section, ensures that AUPs are well managed, provides and gathers information on AUPs; moves AUP through the review and approval process as required; and provides reports on the animal use data and AUP processing.

k) Abbreviations:

- i) AUP - Animal Utilization Protocol;
- ii) ACC - Animal Care Committee
- iii) ACS - Animal Care Services
- iv) CCAC - Canadian Council on Animal Care
- v) RCACS - Regional Campus Animal Care Subcommittee
- vi) PI - Principal Investigator or Principal Instructor
- vii) SOP - Standard Operating Procedure
- viii) R/A – Amendment, Annual Renewal

3. Scope

3.1 Animals

The term “animal” refers to all non-human living vertebrates and higher invertebrates as defined by the CCAC.

3.2 Activities

This policy and its procedures apply to:

- a) University instructional programs (undergraduate, graduate, diploma, extension, continuing education and others);
- b) University research as defined by the Animals for Research Act and CCAC; and
- c) All additional activities pertaining to the care, use or study of animals including breeding, holding, display, competition and/or sample collection.

3.3 Jurisdiction

This policy and its procedures apply to:

- a) The care and use of animals in all facilities owned and/or operated by the University of Guelph,

- b) The care and use of animals owned, managed, or used by the University of Guelph while located on non-University premises in Canada, or in other jurisdictions as required under terms of funding (Part I, Section 1), and
- c) The use of animals in the wild, as part of research and teaching conducted under the auspices of the University of Guelph.

All animals owned or managed by the University of Guelph will, within the Province of Ontario, be located within a facility registered under the Animals for Research Act. Registration may not be granted to, and can be withdrawn from, any facility not meeting requirements under the Animals for Research Act.

3.4 Personnel

This policy and its procedures apply to all University faculty, staff, students and visitors using, or proposing to use, animals for teaching, research, or any other purpose as delimited in Part I, Sections 3.1, 3.2 and 3.3.

4. Animal Care Committee

The ACC is a standing committee of the Research Board and reports to the Vice-President (Research). The committee is mandated by the Animals for Research Act and the *Terms of Reference for Animal Care Committees* policy of the CCAC to:

- a) Ensure compliance with the Act,
- b) Ensure adherence to the policies and guidelines of the CCAC,
- c) Communicate with Ministry Inspectors regarding corrections of deficiencies cited under the Animals for Research Act, and
- d) Communicate with Assessment Directors regarding the implementation of recommendations made by the CCAC.

The Committee may use its discretion to introduce flexibility in applying standards of animal care and use where exceptional circumstances and/or common sense dictate, provided that the basic principles underlying this policy and its procedures are not compromised.

4.1 Membership

ACC members are chosen from a list of persons put forward by ACS to the ACC. ACC membership, including assignment of ACC Chair, is approved by Vice President (Research). The membership of the committee shall be as follows:

- a) At least five faculty representing a mix of individuals actively involved in research and/or teaching using animals and representing as many Colleges of the main Guelph campus, and the broadest species expertise, as possible,
- b) At least one scientist from each of the regional campuses where animal-based activity as defined in Part I, Section 3.2 is taking place,
- c) At least one faculty member who does not use animals,
- d) At least one graduate student who works with animals in research,
- e) At least one member of technical staff who works with animals,

- f) At least two local community members (i.e., not employed by, and at arm's length from², the University) who do not use animals in research or teaching,
- g) One representative from Environmental Health and Safety, or designate
- h) The Veterinary Director, Animal Facilities Management, or designate who shall be a veterinarian
- i) Director of Research Facilities Management, or designate who shall represent the facility management and
- j) ACC Coordinator
- k) The Director of ACS, or designate, who shall be secretary

Insofar as possible, recommended scientist members, except for the faculty member who does not use animals, shall have expertise in one or more of the following species: domestic fowl, swine, domestic ruminants, fish and amphibians, laboratory mammals, companion animals including horses, dogs and cats, and wildlife including mammals, birds, amphibians and reptiles and/or in one or more of the following disciplines: anesthesia, pain management, surgery, medicine, infectious disease, nutrition, husbandry and reproduction. The Chair of the ACC will be free to invite consultants to provide advice to the ACC on any matter relevant to its mandate and activities.

4.2 Functions and Responsibilities

The ACC:

1. Must provide ethical review and approval of AUPs once they have been found to have scientific or educational merit, and must ensure that the AUPs comply with the Animals for Research Act and are consistent with the guidelines of the CCAC;
2. Must ensure that the projects described and approved in the AUPs are carried out in practice as they have been approved in principle.
 - a) Has the authority (following procedures outlined in Part II, Section 5):
 - i) To immediately stop any animal use that is not covered by, or deviates from, an approved AUP, or that involves any procedure causing pain or distress to animals unforeseen at the time the AUP was approved,
 - ii) To have an animal humanely euthanized if it is experiencing pain or distress, unforeseen at the time of approval of an AUP, that cannot be alleviated, and
 - iii) To recommend to the Vice-President (Research) the closure of facilities that are in serious non-compliance with respect to the humane care and well-being of animals housed or used therein.
 - b) Will provide information on, and encourage the use of, alternatives to animals in teaching and research programs;
 - c) Will ensure that all care and use of animals, as delimited in Part I, Section 3.2, is in compliance with the Animals for Research Act and the guidelines of the CCAC;
 - d) Will carry out at least one annual site visit of each University of Guelph facility in Ontario where animal care and use is being undertaken (to assess the condition of the animals, the animal care facility, and management practices and procedures). ACC may request additional information (e.g. photos, videos, SOP, permits, etc.) for

² Intended to provide transparency and accountability and to preclude conflict of interest

other locations where research, teaching or breeding, may take place. ACC may also request a mandatory visit by its members and/or ad hoc experts.

- e) Will, in the first instance, clarify and interpret this policy and procedures document where necessary with the understanding that any disagreement on interpretation shall be referred to the Vice-President (Research) for a final decision;
- f) Will assist researchers, instructors, facility managers, students and others involved in the care and use of animals within the University community to meet their responsibilities under this policy, e.g., by ensuring, in conjunction with ACS, that all such personnel receive appropriate training;
- g) Will be open to comment regarding this policy and its procedures and will make recommendations to the Vice-President (Research) regarding change to this document,
- h) Will develop procedures for ACC meetings, for facility site visits, for review of AUPs and SOPs, and for peer review of research proposals according to the provisions of Part I, Section 8;
- i) Will respond to concerns and complaints under this policy and its procedures as per Part II, Section 8;
- j) Will recommend the membership of each RCACS to the Vice-President (Research);
- k) Will ensure that PIs, facility managers, faculty, staff, or students caring for, or using, animals in teaching, research or other activities shall promptly report significant unanticipated animal care and use problems or complications to the ACC or the appropriate RCACS; and
- l) Will function neither as a scientific peer nor or as educational review committee (Part I, Section 8).
- m) Will ensure all of its members are aware of, and can access, all material relevant to the animal care and use program material published by CCAC, and pertinent governmental policies and guidelines.
- n) Will ensure all new members receive (through ACS) an orientation session with opportunity to meet with the ACC Chair.
- o) Will maintain an informal working relationship with Environmental Health and Safety and Occupation Health and Wellness and will respect and promote their programs to promote a safe working environment for all stakeholders and members.

4.3 AUP Review Subcommittee

A subcommittee to review B & C category AUPs (Part II, Section 4.3d), will report to the ACC and will be constituted as follows: a scientific member, a community member, a non-animal user member; the Director of ACS, and/or a veterinarian from ACS who need not be the Director; and a technical staff member.

4.4 Renewal/Amendment Review Subcommittee

A subcommittee to review renewals, renewal/amendments and major amendments (Part II, Section 4.4b) will report to the ACC and will be constituted as follows: a scientific member, a community member, and the Director of ACS or another Veterinarian.

The Chair of the ACC is designated by the ACC to review Minor Amendments. This task is delegated to ACC Coordinator, Director ACS, or designate, signs the AUP.

Minor amendments have been defined by the ACC. All amendments that do not qualify as minor amendments are considered major amendments and are processed accordingly.

5. Regional Campus Animal Care Subcommittees

RCACS are subcommittees of the ACC and report to the Vice President (Research) through the ACC. An RCACS will be established at each regional campus and research stations associated with regional campuses where use of animals as defined in Part I, Section 3.2 is taking place. Each RCACS will advise the ACC on all matters of animal care and use pertaining to its specific college or station.

5.1 Membership

RCACS members are appointed by the ACC, and the membership of each subcommittee shall be as follows:

- a) The Chair of the ACC,
- b) A veterinarian associated with the regional campus,
- c) The facility manager,
- d) One or more scientists from the regional campus, the number representing the minimum necessary to provide expertise relevant to the diversity of species used in that location,
- e) At any regional campus with a teaching function, two students from different programs of study involving animals,
- f) One member of technical staff at the regional campus who works with animals,
- g) One local community member (i.e., not employed by, and at arm's length³ from, the University) who does not use animals in research or teaching, and
- h) One scientist or technical staff member who does not use animals,
- i) RCACS coordinator
- j) Director of ACS

The Chair of an RCACS will be free to invite consultants to provide advice to the subcommittee on any matter relevant to its mandate and activities.

5.2 Functions and Responsibilities

The functions and responsibilities of each RCACS pertain exclusively to its own campus/research station. In addition to monitoring each approved project in a manner that it deems appropriate, each RCACS has, *mutatis mutandis*, the functions and responsibilities outlined for the ACC in Part I, Section 4.2 c, d, e, f, h, k and m.

6. Director of Animal Care Services

The Director of ACS reports to the Associate Vice-President (Research), except when the Director of ACS is acting on behalf of the ACC, wherein the Director of ACS reports to the Senior Administrator, Vice-President (Research). In relation to this policy and its procedures, the functions and responsibilities of the Director are:

- a) To liaise with external animal care interest and regulatory groups;
- b) To maintain records and prepare reports as required by the Animals for Research Act and/or the CCAC;
- c) To provide assistance and information to users and prospective users of animals and to those responsible for animal care;
- d) To serve as Secretary of the ACC,
- e) To serve as a member of each RCACS;

³ Intended to provide transparency and accountability and to preclude conflict of interest

- f) To sign approved AUPs, SOPs and their amendments to indicate institutional approval;
- g) To co-ordinate the Institutional Animal User Training Program;
- h) To determine appropriate disclosure of confidential information as delimited in Part I, Section 9; and
- i) To screen and conduct initial inquiry into concerns and complaints submitted under this policy.

7. Animal Utilization Protocol

- a) All animals identified under the provisions of Part I, Section 3 must be covered at all times by an AUP. An AUP provides details of animal care and use for specific research projects or teaching activities, for animals held in colonies, herds, etc., and for animals used for display and show purposes.
- b) Prior to the acquisition of animals (Part II, Section 3), the PI must have a current AUP. Each AUP is specific for the project and the procedures to be performed on the animals as described within the AUP. Approval extends only to those specific procedures, animal species, numbers of animals, and the trained personnel identified in the approved AUP.
- c) All animals at University-managed facilities that are not covered by an AUP for teaching, research or display purposes must be covered by a herd/colony AUP that describes the general holding and routine management of the animals.
- d) College deans, or designate, shall ensure that prior to any activity involving animals an approved AUP is in place.

8. Scientific and Educational Merit Review

It is the responsibility of the ACC to ensure that, for research projects, a peer review of scientific merit is carried out; if the review is not carried out by an external, peer review agency, the ACC should require that it be obtained according to the *CCAC guidelines on: animal use protocol review*" (Section 3, *CCAC Terms of Reference for Animal Care Committees*, March 2000).

The ACC counts on one or more designated institutional official(s) to confirm that each protocol has been found to have either scientific, pedagogical or regulatory merit (Appendix II, Scientific, Pedagogical and Regulatory Merit in Policy Statement for: senior administrators responsible for animal care and use programs, 2008)

9. Confidentiality

ACC and RCACS members will hold all materials associated with the duties and responsibilities of these committees, and all discussions that take place during meetings of these committees, in the strictest confidence. The same expectation with regard to confidentiality applies to any other persons participating in ACC or RCACS activities. Such confidential information will be disclosed only on a need-to-know basis as determined by the Director of ACS and/or the Vice-President (Research).

10. Education and Training

The ACC, through ACS, maintains the Animal User Training Program. Animal users (investigators, graduate students, post-doctoral fellows, research staff, and undergraduate students) must be trained in the principles of ethical use and care of animals prior to AUP/Amendment approval. Depending on the audience, additional training requirements are set by the ACC as per specific educational and training needs of the individual user. All training records are maintained by ACS.

II. PROCEDURES

It is understood that any duties or responsibilities charged under these procedures to University officers, PIs or facility managers may be undertaken by appropriately appointed designates.

1. Animal Care Committee

1.1 Membership

- a) The ACC will submit recommendations for members to the Vice-President (Research). The appointment decisions will normally be announced by October of each year.
- b) In preparing its recommendations, the ACC will consult widely including, *inter alia*, college deans, department chairs, regional campus directors, the Director of Research Facilities Management, species coordinators, facility managers and individual researchers and instructors. For possible community members, the ACC may also consult with external agencies such as local humane societies.
- c) Except for the Director of ACS, the Director of Research Facilities Management, and the Veterinary Director, Animal Facilities Management, Environmental Health and Safety representative and the ACC Coordinator, whose membership is *ex officio*, members of the Animal Care Committee serve for a three-year term. After the first term, member may choose to serve for a second term of three years. To ensure a rotation of members, after two consecutive terms, a retiring member cannot be a member of the Committee for a year; normally an individual will not return to active membership for three years.
- d) The Chair and a Vice-Chair shall be elected annually by the ACC from among its members. *Ex officio* members may serve neither as Chair or Vice Chair.

1.2 Meetings

- a) Meetings of the full ACC shall be held at least twice annually, or as frequently as is necessary to fulfill the responsibilities of the committee.
- b) Quorum shall be one-half plus one based on minimum membership described under 4.1 (9 members excluding *ex officio* members), of the members and it must include a scientist, community member and a veterinarian. Decisions of the ACC shall be made by consensus.

1.3 Reporting

- a) The Chair of ACC will submit an annual report to the Research Board summarizing activities of the preceding year, providing statistics on animals used in teaching and research, and making recommendations to the Board.
- b) The ACC will keep the Vice-President (Research) apprised of any newly arising requirements from external organizations such as the CCAC to ensure that there is an opportunity for discussion of the impact of such changes, particularly when they have significant resource implications. The Vice-President (Research) will subsequently inform the Research Board
- c) The ACC will forward the approved minutes of the ACC meetings to the Vice-President (Research).

2. Regional Campus Animal Care Subcommittees

2.1 Membership

- a) Members of each RCACS will be appointed by the ACC after consultation with the Regional Campus Director and following wide consultation with members of the Regional Campus. Appointment decisions will normally be announced by September of each year.
- b) Except for the Director of ACS, ACC Coordinator and Veterinarian whose membership is ex officio, a term of office will normally be three years and a member may normally hold up to two consecutive terms. Exceptions to those guidelines may be made for RCACS at regional campuses.
- c) The Chair shall be elected annually by the RCACS from among its members, and shall normally become a member of the ACC. The Director of ACS may not serve as Chair.

2.2 Meetings

- a) Meetings of the full RCACS shall be held at least twice annually, or as frequently as is necessary to fulfill its responsibilities.
- c) Quorum shall be one-half, or the smallest whole number exceeding one-half, of the members and it must include a scientist, community member and a veterinarian. Decisions of the ACC shall be made by consensus.
- b) Meeting minutes will be distributed to the members of the RCACS, the ACC membership and the Regional Campus Director.

3. Acquisition of Animals

Further to the provisions of Part I, Section 7, and consistent with these provisions:

- a) The ACC must be notified prior to, or upon, acquisition of animals by donation.
- b) Consulting Clinical Veterinarian and the Veterinary Director, Animal Facilities Management must be consulted if animals are acquired from suppliers unknown to, or new to the University, or with whom the University has had prior unsatisfactory dealings.
- c) Upon arrival at a University facility, all animals must be given a general health examination by a qualified person, i.e., a person familiar with species-specific behaviour, signs of distress (including pain) and illness. Any serious health problems must be treated appropriately and reported immediately to veterinary personnel, and the ACC must also be informed.

4. Animal Utilization Protocol

4.1 General

- a) Although it is not mandatory that an approved AUP be in place before a research proposal is submitted to a sponsor (unless the sponsor explicitly requires it), this is mandatory before the Office of Research will release research funding and before any new research projects can be initiated. An AUP may be submitted at any time following the submission of a proposal. Early submission of the AUP is recommended. A PI who wishes to defer final submission of his/her AUP until he/she knows the outcome of the proposal and the amount of funding to be received is encouraged to submit a copy of the research proposal to ACS immediately following the submission to the sponsor in order that much of the preliminary information can be gathered and some preliminary work on the review process can be carried out. This will facilitate the approval of the final AUP. A PI who chooses to wait until the outcome of the proposal is known before beginning the review process takes

the risk of some delay in being able to begin the research because of the time required to complete the review process.

- b) A new AUP is approved for one year, must be renewed annually for up to 3 consecutive times (Part II, Section 4.4). After three renewals a complete, new protocol, must be submitted.

4.2 Preparation and Submission

A completed AUP includes the identity of the designated veterinarian (Part II, Section 6.3) together with the information itemized in CCAC Terms of Reference for Animal Care Committees (2006) or in future amendments as administered by the CCAC.

4.3 Review Procedures

- a) All submitted AUPs are initially reviewed by ACS staff. ACS will work together with the PI to clarify the information provided in the AUP. To assist ACC members and facilitate approval of an AUP, ACS may consult with specialists regarding areas of ambiguity.
- b) The ACC shall accommodate reasonable requests from PIs to participate in discussions about their AUPs.
- c) An AUP involving procedures with a maximum CCAC category of invasiveness B or C, will be reviewed initially by an AUP Review Subcommittee of the ACC (Part I, Section 4.3). The Subcommittee approves B & C protocols with or without provisos and conveys formally their decisions to ACC. The ACC retains the power to revoke subcommittee's decisions and request full ACC review.. The subcommittee may refer the AUP directly to the full ACC for review.
- d) Normally all AUPs involving procedures with a maximum CCAC category of invasiveness D or E, will be directed to the full ACC for consideration at a regularly scheduled ACC meeting without prior Subcommittee input.
- e) The Chair of the ACC will sign approved AUPs to indicate institutional approval. This role is delegated to Director of ACS, or designate.
- f) A summary of all discussions and decisions regarding the AUP review and approval process will be recorded in the minutes of AUP Review Subcommittee and ACC meetings, and pertinent information will be provided in writing to the PI. All documentation pertaining to the AUP review will be filed with the AUP.

4.4 Amendments and Annual Renewal

- a) An R/A Review Subcommittee (Part I, Section 4.3) will review all requests for major amendment(s) and annual renewals of AUPs. Any member of the R/A Review Subcommittee has the right to request full committee review or to see the responses of the PI in advance of approving renewal or amendment.
- b) The Chair of the ACC is designated by ACC to sign approved AUPs and indicate the institutional approval. This role is delegated to Director of ACS, or designate,
- c) A summary of all discussions and decisions regarding the AUP review and approval process will be recorded, and pertinent information will be provided in writing to the PI. All documentation pertaining to the AUP review will be filed with the AUP and made available to the ACC.

4.5 Peer Review

Further to the provisions of Part I, Section 8, and consistent with these provisions, the following procedures are in place:

- a) Financial support of a project from funding agencies that utilize a scientific merit review process, e.g. the Federal Granting Councils and OMAFRA, will normally satisfy the requirement for scientific merit review. Further, in accordance with the CCAC guidelines on: animal use protocol review (1996) and the 2000 CCAC policy on the importance of peer review of the scientific merit of animal-based research projects, provisional approval may be granted by the ACC pending assurance from a funding agency that an application has high scientific merit, if prior approval is required by the funding agency. If an application to a funding agency with a scientific merit review process is unsuccessful, but the review comments are positive, these comments may be submitted with the AUP to satisfy the scientific merit review requirement.
- b) In the exceptional circumstance where the ACC is concerned about the scientific merit of an AUP relating to a proposal that has passed external scientific review, the ACC may refer the matter to the Vice-President (Research) for consideration by a Scientific Merit Review Committee (Part II, Section 4.5c). Likewise, an AUP for work that is (or will be) funded by a process judged by the ACC to lack scientific merit review will be referred by the ACC to the Vice-President (Research) for consideration by an ad hoc Scientific Merit Review Committee (Part II, Section 4.5c). The final decision on whether or not to defer an AUP to a Scientific Merit Review Committee will be made by the Vice-President (Research). If the Vice-President (Research) has a conflict of interest regarding an AUP in this process, the Provost and Vice-President (Academic) will assume the appropriate responsibilities.
- c) A Scientific Merit Review will comprise two faculty members, normally from the University of Guelph though external experts will be considered. The Scientific Merit Review Committee will be provided with sufficient detail of the proposed experiment(s) to permit evaluation of the scientific merit of the proposal. A template useful in preparation for peer review is available from the ACC website for those who wish to use this option. Convener will select at least two scientific merit review members for each submitted proposal. Convener may use reviewers whose names have been provided by PI and/or add other researchers based on expertise and/or potential conflict of interest (lack thereof).

Any reviewer comments requiring a response will be sent to the PI who has the right to respond to any concerns identified by the Scientific Merit Review Committee and may provide supplementary information. Convener will send comments to PI. Finally, Convener makes written recommendation to the ACC based on comments (anonymised) provided by members of the Scientific Merit Review Committee and any responses or supplementary information provided by the PI.

- d) The Educational Merit Review Committee provides the first level of review of the educational merit of the use of animals in non-degree credit offerings, training and displays; as well, the Committee reviews proposals for independent research by undergraduate students when an appropriate review of the educational merit of the project has not been provided. The Committee will assess whether, broadly speaking, the proposed use animals serves an educational purpose. Subsequent to a proposal receiving approval for the educational merit, an Animal Use Protocol relating to the proposal will be reviewed by the Animal Care Committee, or its subcommittee (the Animal Protocol Review Subcommittee), which will consider the specifics of the care of animals.

4.6 Confidentiality

Further to Part I, Section 9, and consistent with these provisions:

- a) Normally, the Director of ACS will provide a copy of each approved AUP to:

- i) The PI,
- ii) The relevant facility manager(s),
- iii) Any other individual(s) at the facility who is/are responsible for scheduling animal use
- iv) The designated veterinarian(s) if the AUP specifies special animal care and use requirements, and/or
- v) The Environmental Health and Safety Department if the AUP indicates the use of hazardous materials or situations.

The information will be conveyed with the provision that the information is confidential.

- b) Proprietary information that is, or may be, subject to a confidentiality agreement should not be included in an AUP. However, such confidential material may be submitted in support of an AUP. In this event, the confidential material will be stored in a secure location in the office of the Director of ACS during assessment of the AUP and subsequently if the AUP is approved.

5. Immediate Cessation of a Research or Teaching Activity

5.1 Euthanasia, Treatment or Removal of Animals Suffering Undue Pain or Distress

- a) In cases where an animal is deemed to be experiencing pain or distress that cannot be alleviated within the terms of the AUP, the ACC expressly authorizes the Veterinarian to humanely euthanize, treat or remove the animal from the study at the discretion of their professional judgment.
- b) The Veterinarian will take every reasonable step to immediately inform the PI, the Chair of the RCACS where applicable, and the Chair of the ACC or the Director of ACS of a decision before euthanizing, removing or treating any animals; however, the veterinarian has the authority to proceed with any necessary emergency measures according to their professional judgment.
- c) A written report may be requested by the ACC following any such event.

5.2 Immediate Termination of Animal Use

The procedure leading to immediate termination of animal use under the provisions of Part I, Section 4.2c may be initiated through any member of the ACC by means of a concern or complaint (Part II, Section 8.1), through an animal incident report, or as a result of a site visit. The procedure is as follows:

- a) On behalf of the ACC, the Director of ACS will immediately consult with the PI and the facility manager, where appropriate, to seek resolution.
- b) Where resolution cannot be achieved, the Chair of the ACC and the Director of ACS will reach a decision on whether to terminate the animal use. This will be done in consultation with as many ACC members as can be contacted in a timely manner.
- c) The Chair of the ACC or the Director of ACS will take every reasonable step to immediately inform the PI of a decision to terminate animal use. This will be followed immediately by written documentation of the action, dated and signed by the Chair of the ACC. In addition, the relevant facility manager and Department Chair will be informed of the action immediately by the Chair of the ACC or the Director of ACS, and this will include the signed and dated document provided to the PI.
- d) The PI and any other personnel involved must immediately comply with the decision to terminate the animal use, pending the outcome of any appeal (Part II, Section 9).

6. Animal Facilities

6.1 Registration under the Animals for Research Act

To register a University of Guelph owned and operated facility for animal use as per Part I, Section 3.2, the Director of ACS will notify the Ministry Inspector and request inspection of the facility. The Ministry Inspector may either recommend unconditional registration of the facility or may recommend that registration be deferred pending upgrades, repairs or alterations to the facility. Registration must be applied for annually by the Vice-President (Research). Under the provisions of the Animals for Research Act, loss of facility registration prevents the use of that facility for animals for a period of one year, and registration must be re-applied for after the year has passed. Facilities not operated by the University of Guelph, but utilized by University of Guelph faculty and staff for research or teaching activities may be approved for use by the Ministry Inspector. For these facilities to be officially registered under the Act, an application must be made by the facility owner.

6.2 Internal Quality Control Mechanisms

In addition to mandated ACC site visits (Part I, Section 4.2f), the Vice-President (Research), or designate, may arrange discussions with Physical Resources, the Director of ACS and/or the Agricultural Research Institute of Ontario to identify and address physical plant problems.

6.3 Veterinarian

- a) Each animal care facility will provide a current roster of Consulting Clinical Veterinarians and Facility Veterinarians to the ACC upon request, and keep the ACC informed of any changes.
- b) Information on Consulting Clinical, Designated and Facility Veterinarians will be accessible in each facility for reference by facility personnel, in particular those working off-hours.

6.4 Standard Operating Procedures

- a) New SOPs shall be submitted to the Director of ACS.
- b) Each new SOP will be reviewed by the ACC Coordinator, at least one other ACC member who is knowledgeable in the area of the SOP, the Chair of the ACC, and the Director of ACS.
- c) The reviewers will provide their comments to the ACC Coordinator. The ACC Coordinator will work with the author(s) of the SOP to resolve any questions or concerns.
- d) When the SOP meets approval, it will be signed by the facility manager, the Director of ACS, the ACC/RCACS Chair and, where appropriate, the facility veterinarian. Approval will be granted for a three-year period.

SOPs that are AUP specific and submitted with an AUP shall be reviewed and approved with the AUP.

6.5 Serious Concerns

In this subsection, the term “serious” is used as indicated by the CCAC in its current (2002) *Definitions of Recommendations Made in CCAC Reports*, i.e., “deficiencies that must be addressed expeditiously in order for the institution to comply with the Canadian Council on Animal Care”.

- a) If the ACC identifies, or is made aware of, a serious concern with a facility, the Chair of the ACC or the Director of ACS shall bring the matter to the attention of the Director of Research Facilities Management, if appropriate, and either the relevant Regional Campus Director or the relevant College Dean and Department Chair. The notified administrators will assume responsibility to seek a solution to the problem. The ACC will be kept informed of progress toward resolution of the concern. If the matter cannot be resolved, the ACC may recommend to the Vice-President (Research) that the facility be closed (Part I, Section 4.2c).
- b) When the Ministry Inspector identifies serious concerns that jeopardize the registration of a University facility under the Act, the ACC will attempt to address the concern(s) by working together with the facility manager, Director of Research Facilities Management (where appropriate), and either the relevant Regional Campus Director or the relevant College Dean and Department Chair. If the outcome of this process is unsatisfactory to the Ministry Inspector, the ACC must recommend to the Vice-President (Research) that registration of the facility be discontinued.
- c) If a facility is found seriously deficient during a CCAC assessment visit, the ACC will attempt to address the concern(s) by working together with the facility manager, Director of Research Facilities Management (where appropriate), and either the relevant Regional Campus Director or the relevant College Dean and Department Chair. If the outcome of this process is unsatisfactory to the CCAC, the ACC may recommend to the Vice-President (Research) that the facility be closed.

7. Animal Care Committee Site Visits

- a) The ACC will conduct at least one scheduled site visit to each facility every year and will conduct two such visits when a facility is not in compliance with the Act or has outstanding ACC or CCAC serious recommendations. The ACC will conduct two scheduled visits to regional campuses annually. Unscheduled site visits may be made by the ACC at any time.
- b) Normally, no one apart from ACC members may join a site visit team without permission from the Director of ACS who approves such exceptions in consultation with the facility manager and, if reasonably accessible, the PI(s).
- c) The ACC Coordinator will provide a summary listing of current AUPs for that facility, a list of facility SOPs for the facility being visited and is expected to be familiar with the previous site visit report and response, the most recent CCAC Assessment report and responses, and the most recent Animals for Research Act inspection report. These documents will be made available by ACS for the members of the ACC who should review the material during the week of a scheduled site visit.
- d) A report on each site visit will be prepared by the ACC Coordinator, reviewed by the Chair of the ACC and will be distributed to the facility manager and associated administrators, the senior administrator, and ACC members (at the time of the next ACC meeting). Facility managers must respond in writing to the recommendations within the time frame outlined in the site visit report. When required, the ACC shall follow up on site visit reports jointly with senior administration.

8. Concerns and Complaints

8.1 Introduction

Any individual or group may notify a member or alternate member of the ACC regarding a possible violation of this policy and/or its procedures. Two procedures, regarding concerns and complaints, are available to pursue submissions regarding possible violations. Individual or group reporting concerns or complaints shall not be discriminated against or be subject to any reprisal for reporting. When concern is expressed presumed in good faith.

If a concern or complaint suggests an immediate and egregious threat to the health or safety of animals protected under this policy and its procedures, and this is verified independently by the Director of ACS, the Director will take immediate action on behalf of the ACC under the provisions of Part I, Section 4.2c of this policy.

The concerns and complaints process and descriptions of investigation and subsequent actions that may follow are described in ACC Guideline titled Concerns and Complaints in the Animal Care and Use Program and are in keeping with the Human Rights and Equity Policy of the University of Guelph.

9. Appeals

Appeal procedures may be invoked in the event of a disagreement with any recommendation or decision of the ACC or of the Vice-President (Research). An appeal will be preceded by an attempt to achieve resolution through consultation between/among the ACC, or Vice-President (Research) as appropriate and the PI and/or the facility manager(s), and every opportunity will be provided for presentation to the ACC of any information that may be deemed helpful.

9.1 Appeals Not Relating to a Complaint

- a) A PI and/or facility manager may appeal to the Vice-President (Research). Such an appeal must be made within five University working days of receipt of written, signed and dated notification by the ACC that an impasse has been reached. If an appeal is launched regarding termination of a research or teaching activity in which an immediate and serious threat to the health and safety of animals is not apparent, termination will not be effected until and unless a corroborating decision has been reached as a result of the appeal. An appeal launched by the Vice-President (Research) will be submitted to the Provost and Vice-President (Academic). Appeals may be made on either, or both, of the following grounds:
 - i) That the decision was inappropriate or unreasonable in light of the evidence (scientific or other) presented to the ACC, and
 - ii) That the review of the ACC lacked procedural fairness.
- b) Upon receiving an appeal submission, the Vice-President (Research or Academic as per Section 9.1a) will convene an Appeals Committee. The Committee shall report to the convening Vice-President, and shall be composed of three persons as follows:
 - i) One person named by the PI and/or facility manager,
 - ii) One person named by, but not currently a member or alternate of, the ACC, and
 - iii) One person, who shall be Chair, agreed upon by the ACC, the PI and/or the facility manager(s).

Any question concerning the composition of the Appeals Committee shall be referred to the Provost and Vice-President (Academic) whose decision shall be final. If the Provost is the convening Vice-President, or is a party to the case, or declares bias or conflict of interest, a challenge to the composition of the Committee will be heard by the Vice-President (Finance and Administration).

- c) The convening Vice-President (Section 9.1a) shall transmit to the Appeals Committee the full documentation on the case. The Appeals Committee will develop procedures and a timeline appropriate to the circumstances. Both parties to the appeal shall be given a full opportunity to present all relevant information, both written and verbal, to the Appeals Committee and the deliberations of the Committee will be held in camera. The Committee will consider only the following types of evidence:
 - i) Signed and dated written submissions including email communications,
 - ii) Printed material with attribution,
 - iii) Published information,
 - iv) Verifiable records and

- v) Personal testimony.

Where conflicting evidence must be assessed, conclusions will be based on a (balance of probabilities) standard. Each member of the Appeals Committee will cast a vote. Decisions will be made by majority vote, and an abstention will count as a negative vote. The Committee may confirm or modify the decision of the ACC, and may impose its own conditions in relation to the appeal. Except where closure of a facility is at issue, the decision of the Appeals Committee shall be final. The Committee may recommend to the convening Vice-President that a facility be closed, and the decision of the Vice-President shall be final regarding the matter.

- d) In the event that an appeal is upheld regarding cessation of a research or teaching activity (Part II, Section 5), the PI may seek redress through the Vice-President (Research) for financial or other losses.

9.2 Appeals Pursuant to a Complaint

A decision of the Vice-President (Research) regarding a complaint may be appealed by either the complainant(s) or the respondent(s). The procedure is, *mutatis mutandis*, as for other types of appeal. The Vice-President convening the Appeals Committee must not have rendered judgment regarding the complaint.

10. Records of Concerns, Complaints, Appeals and University Peer Review Procedures

Records produced in connection with a concern (Part II, Section 8.) will be stored together with the relevant AUP. Records produced in connection with a complaint (Part II, Sections 8), an appeal (Part II, Section 9), or the University peer review process (Part II, Section 4.5) will be held in the office of the Vice-President (Research) except where this officer is precluded from performing his/her normal function in relation to this policy and its procedures. In such cases, the records will be stored in the office of either the Provost and Vice-President (Academic) or the Vice-President (Finance and Administration) as dictated by the circumstances. Records of a complaint or appeal will be held either for the life of the AUP or for two years from the date of a final decision, whichever is the longer period. If by that time there is no further activity regarding the complaint or appeal, all records of the matter will be securely destroyed. Records of a University peer review process will be held for the duration of the relevant AUP or until the PI declares that the approved animal usage is completed, whichever is the longer period. Records of a proposal turned down through the University peer review process will be securely destroyed two years after the date of the final decision of the Vice-President (Research) if there is no further activity in the matter during this period of time. Access to records will be consistent with University policies and subject to relevant legislation.