



University Animal Care Committee (UACC)

POLICIES AND PROCEDURES

Revised: October 2009

This document contains University policies regarding the ethical conduct and the ethics review of non-human vertebrate animal-subjects research, experimentation and teaching exercises, as well as the procedures for review. Researchers, instructors and students should read this document and the documents providing Canadian Council on Animal Care (CCAC) guidance and requirements (http://www.ccac.ca/en/CCAC_Main.htm) before making an ethics review submission. In addition, they should consider carefully the contents of the *UACC Application to Use Vertebrate Animals for Research or Teaching* when they are planning projects, as it specifies considerations regarding ethical practice. The completed *Application* must accompany all submissions. All documents are available from the Research Office in hard copy format, or may be downloaded from The University of Winnipeg web site at: <http://www.uwinnipeg.ca/index/research-animal-ethics>.

Note: Separate Senate policies and procedures apply to research with human subjects. These are available from the Research Office, or on the University's web site.

POLICIES

Undertakings Requiring Review

All members of The University of Winnipeg planning to use animals for scientific purposes, no matter where or with whom, must first have their work approved by the University Animal Care Committee (UACC). Research, experimentation and teaching exercises involving non-human vertebrate animals undertaken under the aegis of The University of Winnipeg require review and approval by the appropriate ethics committees before the project commences. This includes, but is not limited to, funding received from the Tri Council (Natural Sciences and Engineering Research Council of Canada (NSERC), Social Sciences & Humanities Council of Canada (SSHRC) and Canadian Institutes of Health Research (CIHR)), Government, Industry, foundations and internal sources. Review and approval are required whether the work is undertaken by faculty, staff or students; whether or not it is funded by or jointly conducted with outside agencies; whether it is funded or unfunded; whether it is conducted inside or outside Canada; whether or not it is intended for publication; whether or not it is a pilot study; whether or not it is conducted as a pedagogical exercise; and regardless of the number of subjects involved. Contract research must be approved if, in securing the contract and/or conducting the research, the researcher makes reference to his/her University of Winnipeg affiliation and/or uses any of the University resources.

Principles Guiding Review

1. The purpose of animal subjects ethics review is to foster and ensure research practices that respect animals, promote the integrity of researchers/scholars and uphold the principle of academic freedom.
2. All proposals require review using common ethical criteria, regardless of the proposal's disciplinary origin or the status of the investigator(s).
3. The University requires adherence to the documents providing Canadian Council on Animal Care (CCAC) guidance and requirements, both on the part of investigators and on the part of review committees. Compliance with relevant disciplinary ethics guidelines and legislation governing experimental animals is also expected.

4. Research and review must be guided by the principles of respect for animals, balancing of harms and benefits, minimizing harm and maximizing benefit. This will involve identifying levels of risk and peer review of the project's science/scholarship is always required, regardless of the level of risk.
5. Although all undertakings require adequate review, the intensity of ethical scrutiny will be proportionate to the invasiveness and potential harm of the research/scholarship (level of risk).
6. All investigators, whether faculty, staff or students, are responsible for the ethical conduct of undertakings in which they are involved.
7. Ethical review does not end with the project's approval. All animal-based projects are subject to ongoing, post-approval monitoring. Projects lasting longer than one year require annual review and certain other projects may require more frequent progress reports. For some research, project-end reports may be required.
8. Although it is the ultimate responsibility of ethics committees to decide whether or not to approve projects, the emphasis in review should be on collegial practices and educational initiatives, in an atmosphere of respect for both ethical rigor and academic inquiry.

Review

All proposals will receive initial review by the appropriate Departmental/Program ethics review committee, and then by the University Animal Care Committee (UACC). At the University level, review will occur in scheduled, face-to-face meetings of the full ethics committee.

Researcher/Scholar/Instructor Responsibilities

All members of the university community (faculty, staff, students) who conduct research, scholarship or teaching activities involving non-human vertebrate animal subjects have the responsibility to:

1. Familiarize themselves with the documents providing Canadian Council on Animal Care guidance and requirements and the University's *UACC Policies and Procedures*, as well as any relevant disciplinary and regulatory ethics guidelines and legislation; and to abide by these.
2. Consider and resolve satisfactorily any ethical issues raised by the project they plan to undertake, consulting as appropriate with colleagues, instructors and members of Departmental or University ethics committees.
3. Not undertake any project involving animal subjects without obtaining the necessary approval.
4. Ensure that proposals submitted for review are complete and describe all aspects of the project relevant to ethics review.
5. Disclose in their proposals any real or apparent conflicts of interest regarding the potential uses of the research findings.
6. All ethical undertakings made in the proposal are honored in the conduct of the approved project, both by themselves and by persons under their supervision.
7. Comply with all undertakings, reporting procedures and monitoring procedures that form the conditions

of project approval.

8. Report to Departmental and/or University Ethics Committees any adverse subject responses to the research that exceed the level of response anticipated and provided for in their approved proposals.
9. Have each protocol reviewed annually.
10. Undertake and update relevant animal user training. It is the responsibility of all animal users at The University of Winnipeg to comply with the Canadian Council on Animal Care Guidelines on Institutional Animal User Training (CCAC 1999). See “Animal User Training” section for more details.

Animal Care Staff Responsibilities

Animal care staff is responsible for ensuring that:

1. Any projects undertaken under their supervision have received the necessary ethics approval, and that persons under their supervision are aware of the applicable ethics policies.
3. All ethical undertakings made in the proposal are honoured in the conduct of the approved project, both by the researcher and by persons under their supervision.
4. Engineering visits the animal facilities on a quarterly basis to take the appropriate air exchange measurements and check the ventilation. All measurements must be recorded and kept on file in the animal facility.
5. A formal orientation is provided to all students prior to the students utilizing the lab. The orientation shall include: animal facility orientation, UACC Policies and Procedures, Occupational Health and Safety Program, and Standard Operating Procedures. The technologist will formally document the process and the individuals who take part.
6. They address any concerns immediately and inform the relevant researcher and, if applicable, student. In situations where concerns have not been addressed the technologist will inform the Departmental Animal Care Committee. If the concern persists the UACC Chair and UACC Committee may become involved.
7. **All** animal health and welfare matters are reported to, and worked on with, the University veterinarian.
8. Current documents are kept on file for each animal facility, such as: all active protocols, SOPs, animal order notifications, OH&S Program, veterinarian reports, air exchange and ventilation reports, UACC Policies and Procedures.
9. Before any animals are ordered an Animal Order Notification Form must be received from the Research Office. Without the official Animal Order Notification Form animals **will not** be permitted into the animal complex. (see *Protocol Review Process* for animal order notification details)

Departmental Responsibilities

It is the responsibility of each University department, program or affiliated institution or college within which non-human vertebrate animal research is conducted to:

1. Establish and maintain a Departmental Animal Care Committee (DACC), and to ensure that all departmental projects are peer-reviewed for scientific merit. In small departments or those that infrequently conduct vertebrate animal subjects research or scholarship, the Department Chair or his/her designate may fulfill the responsibilities of the Departmental Ethics Committee. (If the Department needs assistance, it may seek consultation from the Research Office and/or the Chair of the UACC.)
2. Establish and maintain guidelines for the ethical conduct of vertebrate animal subjects research/scholarship. These must include the *Canadian Council on Animal Care Guidelines*, and should also include accepted disciplinary guidelines relevant to the nature of the project.
3. Ensure that all ethics proposals arising from the Department are appropriately reviewed, that proposals forwarded to the University Committee are complete and address any ethical issues that arise, and that projects do not proceed without the necessary approval.
4. Report to the Research Office, on an annual basis, the name of the Departmental Ethics Committee Chair, as well as a list of any disciplinary guidelines that are used in Departmental review.
5. Ensure that all Departmental faculty and staff are aware of these *UACC Policies and Procedures*, and that students and research assistants who are expected to design and/or conduct projects covered by these *Policies* are informed of them as well.
6. Ensure that for teaching programs, the course has been reviewed with respect to the pedagogical merit of using live animals.
7. Abide by the University's *Policies and Procedures* for ethics review.
8. Annually report to the Research Office the number of animals used in each authorized study.

University Animal Care Committee (UACC)

A. Composition

- * **Chair:** Due to the special requirements of this position, the Chair's appointment is recommended, in consultation with the previous year's UACC, by the Associate Vice-President (Research) and Dean of Graduate Studies. This must be a person knowledgeable about the application of the University's ethics review policies and procedures, but need not be a member of the Senate. The Chair is a voting UACC member.
- * **Vice-Chair:** The committee will select from amongst its faculty membership a Vice-Chair, who will assist the Chair in his/her duties and will act as Chair if that person is unavailable.

Committee members:

- * The Chair of Biology, or his/her designate
- * The Chair of Psychology, or his/her designate
- * One faculty member experienced in animal use or care
- * One faculty member in a discipline other than Biology or Psychology, who does not use vertebrate animals in her/his research and who is selected by the Dean of Science and the Dean of Arts for a two-year term. This person need not be a member of Senate.
- * The University Veterinarian

- * The Animal Care Technologist, Biology
- * The Animal Care Technologist, Psychology
- * One UWSA representative or designated alternate, appointed annually
- * One Community Representative, appointed by the UACC, and chosen from amongst appropriate community bodies (e.g., Humane Society, Winnipeg Zoo), such that the person has no professional or personal affiliation with the University's researchers, but is knowledgeable in animal welfare. The appointment is for a maximum four-year term with the option to renew. (see note 2, directly below)

Notes on UACC Composition:

1. The Chair's/Director's designates cannot be concurrent members of their Departmental animal care subjects ethics committees.
2. UACC members are appointed for no less than two years and no more than 4 years, renewable to a maximum of eight consecutive years of service. This does not apply to UACC members who are part of the UACC because of their role with the institution, i.e., veterinarian, animal technicians, *ex officio* members, administrative officer.
3. The Chair may appoint one or two members to an *ad hoc*, temporary basis, (usually for the review of a single proposal) to participate in the review of proposals requiring specialized knowledge or involving other unusual ethical concerns. Such temporary committee members will have a vote, but only regarding the specific proposal(s) for which they have been asked to participate. Such persons need not be members of the Senate, nor need they be members of the University community.

B. Quorum, Meeting Attendance, and Minutes

1. The UACC, in accordance with the documents providing CCAC guidance and requirements, will meet at least four times in each academic year. Additional meetings will be scheduled as needed. Scheduled meeting dates are available by contacting the Research Office or from the Research Office web site at: <http://www.uwinnipeg.ca/index/research-animal-ethics>.
2. The meeting quorum shall be the majority of the UACC members and the quorum should include the Community Representative and the Veterinarian.
3. Any UACC member who cannot attend a meeting shall send their regrets.
4. UACC members who are unable to attend a meeting are encouraged to submit written comments concerning proposals to be reviewed at that meeting.
5. If the Community Representative and/or the University Veterinarian are unable to attend, she/he is urged to submit written comments. If, for any proposal, the UACC reaches a decision that is contrary to the spirit of such comments, that decision will remain provisional until the UACC Chair has had the opportunity to discuss the matter with the Community Representative or Veterinarian.
6. Investigators may request the opportunity to meet with the UACC when their proposals are under consideration, but may not be present when formal deliberations occur. If the UACC is considering a decision to disallow the project, the investigator(s) will be so informed and be given an opportunity to present his/her case to the UACC before a final decision is reached.
7. Minutes of UACC deliberations shall be kept. For proposal reviews, the minutes shall document clearly the decisions, any dissents and the reasons for them. Although proposal deliberation minutes

are generally confidential, such minutes (or relevant portions of them) shall be accessible to all UACC members, investigators (regarding only their own proposals), authorized administrative assistants and the Vice-President (Academic) and the Associate Vice-President (Research) and Dean of Graduate Studies. In addition, UACC members may discuss portions of the minutes dealing with proposals arising from particular departments/programs with the relevant Department Chairs (or the equivalent) and/or members of Departmental Ethics Committees. Portions of the minutes may be made available, when requested, to the Canadian Council on Animal Care (CCAC) representatives, for purposes of review and policy-compliance monitoring. All “Action Items” will be formally followed-up on at the subsequent meeting.

8. **All** members of the UACC should undertake site visits of animal care facilities and laboratories where animals are used at the University at least once a year and should document these visits through UACC minutes or written reports. Visits are conducted in order to:
 - a. Better the understanding of the work being conducted within the University.
 - b. Meet with those working in the animal facilities and animal use areas and discuss their needs.
 - c. Monitor animal-based work according to approved protocols and SOPs.
 - d. Assess any weaknesses in the facilities
 Any recommendations will be forwarded to the appropriate individuals, and appropriately followed-up on by the UACC and senior administration.
9. It is the expectation that the University continue to provide the UACC with sufficient administrative assistance to ensure that adequate record keeping is maintained and that proposals are processed.

C. Authority

1. The UACC (in accordance with the CCAC policy) has the authority to:
 - * Insist on close monitoring of animals in order to ensure that: unnecessary pain or distress is avoided; anesthesia and analgesia are properly and effectively used; appropriate post-operative care is provided; all due consideration is given to animal welfare, including environmental enrichment.
 - * Stop any objectionable procedure if it considers that unnecessary distress or pain is being experienced by an animal.
 - * Terminate immediately any use of animals that deviates from the approved protocol, any non-approved procedure, or any procedure causing pain or distress to animals.
 - * Humanely kill an animal if pain or distress caused to the animal is not part of the approved protocol and cannot be alleviated.
2. The University mandates the Committee to approve, reject, propose modifications to or terminate any proposed or ongoing research/scholarship that is conducted within, or by members of, The University of Winnipeg, using the considerations set forth in the documents providing CCAC guidance and requirements, as well as other reasonable ethics considerations, including discipline-specific ethics guidelines.
3. The UACC Chair and the Veterinarian must have access at all times to all areas where animals are or may be held or used.

4. The UACC Chair and the Veterinarian may choose to delegate certain responsibilities to one or more senior animal care staff members.

D. Conflict of Interest

UACC members shall not participate in the review of their own proposals or the proposals submitted by persons with whom they are in direct academic collaboration or conflict. If a UACC member is unsure whether a conflict of interest exists, he/she must disclose the nature of the potential conflict to the UACC and abide by the UACC's decision as to whether he/she should participate in the proposal review.

E. UACC Responsibilities

The UACC will:

1. Ensure that appropriate mechanisms exist to inform researchers of these *UACC Policies and Procedures*.
2. Provide consultation to investigators, instructors and departments/programs on matters of animal research ethics.
3. Provide periodic opportunities for education on animal research ethics to its own members and to members of the University's research community.
4. Annually review:
 - a. the *UACC Policies and Procedures* and will recommend any necessary changes for University approval.
 - b. all Biology and Psychology Departments' Standard Operating Procedures. Any necessary changes will be made as a result.
 - c. The University of Winnipeg's Occupational Health and Safety Program. The Safety Officer will be asked to attend this meeting specifically as well as any other meetings on an as-needed basis.
 - d. the security of the animals and research facilities.
5. Review and approve/disapprove individual proposals as described in the *Procedures* section.
6. Serve as an appeal body under the terms of a joint appeal agreement between Brandon University and The University of Winnipeg in the event of an appeal at Brandon University of a decision made by that University's Animal Care Committee.
7. Encourage the use of pilot studies with few animals when new approaches, methods or products are being tried, before approving new, large scale protocols. The UACC will ensure that animal user reports on the results of any pilot studies, no matter whether they wish to pursue the study immediately or not, in order to preserve important data on various approaches to animal-based studies, whether they work well or not.
8. Maintain liaison with the CCAC Secretariat, and inform the Secretariat of any changes to the program
9. Submit complete and accurate animal use information in the *CCAC Animal Use Data Form* (AUDF) format for all protocols annually (for the calendar year by March 31 of the following year) and also in pre-assessment documentation.

10. Occasionally sponsor seminars or workshops on the use of animals in science and the ethics of animal experimentation, and encourage all appropriate parties to attend.
11. Try to achieve and maintain a high profile within the University and in the community in order to demonstrate the University's efforts in promoting animal welfare and to allay some of the public concerns regarding animal experimentation.
12. Be open to developing and maintaining communication with animal welfare organizations.

F. Responsibilities of the SACC Chair

In addition to such other responsibilities as may be delegated to the Chair of the UACC, he/she is responsible for:

1. Reviewing all proposals received by the UACC.
2. Signing proposal approvals, doing so only when he/she is satisfied that all relevant *Policies and Procedures* have been followed.
3. Determining whether proposals to change substantive elements of previously approved projects require full UACC review, and if not, to review them on behalf of the UACC.
4. Conducting any aspects of ongoing review delegated to the Chair by the UACC.
5. Communicating with investigators as required concerning their proposals.
6. Consulting as required with investigators and Departmental Committees.
7. Ensuring that the UACC meets at reasonable, scheduled, publicized time intervals.
8. Appointing *ad hoc* temporary UACC members as required.
9. Consulting with the Community Representative and/or the Veterinarian in the event that she/he cannot attend a meeting.
10. Participating in the UACC and University ethics-educational undertakings.
11. Ensuring that problems arising with these *Policies and Procedures* are noted for the purpose of future revision, and that such revision occurs as required.
12. Ensuring that required CCAC reports are submitted.

G. Responsibilities of the Veterinarian

In addition to such other responsibilities as may be delegated to the veterinarian, he/she will:

1. Have the authority to order suspension of any procedures causing unacceptable animal suffering. The intention of the suspension is to allow the Veterinarian to consult with the researcher. In the event that the Veterinarian and the researcher are unable to resolve any conflict arising, the Veterinarian shall have the authority to treat, remove from a study, terminate procedures or euthanize, if necessary, an animal according to his/her professional judgement.
2. Attempt to contact the animal user and the UACC Chair before beginning any treatment that has not previously been agreed upon, but the veterinarian must have the authority to proceed with any necessary emergency measures, whether or not the animal user and Chair are available.
3. Have the authority to order the immediate institution of any necessary safety procedures if there is a significant possibility of serious zoonotic disease.
4. Be authorized to carry out any necessary laboratory work, to be paid for by the University, for the diagnosis of zoonotic disease.
5. Attend all meetings called by the University Animal Care Committee (UACC).
6. Remain "on-call" at all times, and when he/she is unavailable, back-up veterinary services are in place.
7. Conduct monthly (and as-needed) visits of the Biology and Psychology animal facilities and

submit formal monthly veterinarian/clinical reports after each visit to the Research Office. The Research Office will forward copies to the appropriate UACC members and animal technologists to keep on record.

8. Maintain responsibility for ordering drugs needed (by telephone) as well as providing consultation in respect to drugs being ordered when necessary.
9. In cases where the University maintains sentinel animals as part of its health monitoring system, the veterinarian will supervise the bleeding of the animals.
10. Maintain a membership in the Canadian Association for Laboratory Animal Medicine (CALAM). The University of Winnipeg will reimburse the cost of membership.
11. Undertake professional development activities in order to keep abreast of emerging knowledge and practices in laboratory animal medicine and care.
12. Undertake any other functions required by the Canada Council on Animal Care (CCAC).
13. On an annual basis conduct a workshop for the UACC on relevant animal care issues.
14. Attend the CCAC national workshop every 3 years.

H. Responsibility of the Community Representative

The Community Representative offers valuable insight regarding animal research projects from the perspective of the community-at-large. This voluntary position requires a commitment of two years with the understanding of regular attendance at meetings and consistent fulfilment of duties. Such requirements are necessary for this position due to the significance given to the decision of the Community Representative. The Community Representative must have no affiliation with The University of Winnipeg and have some demonstrable interest in animals. He/she is responsible for:

1. Reviewing and considering project proposals as they are received by submission deadlines and before meeting dates.
2. Attending meetings of the UACC.
3. Providing a decision on project proposals at the meetings.
4. Acting as a liaison for the UACC with the community.
5. Reading and familiarizing themselves with the *CCAC Manual for Community Representatives*

I. Animal User Training

The Canadian Council on Animal Care Guidelines on Institutional Animal User Training (CCAC 1999) addresses animal user training and the “General Guideline” of that document states: “All personnel involved with the use of animals in research, teaching and testing must be adequately trained in the principles of laboratory animal science and the ethical issues of animal care.” This requirement may be satisfied in a number of ways, including attendance at courses delivered for this purpose or through the use of on-line training programs. The details of compliance can be assessed on an individual basis. This shall be done in consultation with the animal user, the UACC and the Research Office.

The Research Office provides up-to-date information on the availability of relevant training programs. Upon completion of such programs, animal users are required to provide the Research Office with copies of certificates of completion as the completion of such courses are formally tracked by the Research Office. Courses are taken through the University of Manitoba via their on-line animal user training course or the University of Prince Edward Island via their on-line experimental fish course. Please contact the Research Office for information on how to register.

PROCEDURES

These procedures should be read in conjunction with the preceding *Policies*.

Time Frame and Procedures for Review

It is the **responsibility of the investigator** to allow sufficient time for review in advance of the anticipated project start day. Time frame considerations include the following:

1. **Submission Completeness:** Proposals that lack required items do not provide sufficient detail for review or are not submitted with the necessary number of copies will be returned to the researcher for completion and resubmission.
2. **Ethical complexities:** Proposals involving ethical issues that necessitate further consideration may require time for consultation, revision and/or committee discussion at more than one scheduled meeting. Careful review at the Departmental Committee level may help to reduce the time later required for review at the UACC level.

Protocol Review Process

The investigator submits **two copies** of the complete proposal to the Departmental Ethics Committee. That committee reviews the proposal within five (5) working days, retains one copy for departmental files and returns the second copy to the investigator with a recommendation. If the recommendation involves proposal revision, the Departmental Ethics Committee has five (5) further working days to review the resubmitted revised proposal. If it is recommended departmentally that the proposal be approved, the investigator then submits **two copies** (including the original) of the completed proposal, including the completed Departmental Ethics Recommendation page, to the Research Office. Proposals received by the Research Office **prior to the publicized deadline** will be reviewed at the next scheduled UACC meeting. Because the UACC needs sufficient time to distribute and read submissions prior to the meeting, proposals received between the submission deadline and the meeting date **will not be reviewed until the subsequent scheduled UACC meeting**.

***Please see the Research website for scheduled UACC meeting dates and deadlines:

<http://www.uwinnipeg.ca/index/research-animal-ethics>

Investigators will be notified of the outcome of the UACC review within two (2) working days with an approval form and an email. Animal Order Notifications will also be sent out to the animal technicians of the related department. **More time** may be required if issues arise in the UACC meeting that necessitate consultation or proposal revision, and/or the committee requires that the proposal be revised and considered further at the next committee meeting.

Following protocol approval a copy of the approved protocol will be forwarded to the appropriate animal facility's animal technician in order to have the information readily on hand for reference in the areas where animal-based work is taking place.

Animal Order Notification

If applicable, following protocol approval an **Animal Order Notification Form** will be forwarded to the appropriate animal technologist by the Research Office in order to proceed with the ordering of animals. Animals must be ordered as outlined in the Form. Without an official Animal Order Notification Form animals **will not** be permitted into the animal complex.

Interim Protocol Review

Interim approval of a protocol may be given prior to a full UACC meeting, provided that the protocol has the unanimous approval of the University Veterinarian, Community Representative, a competent scientist and the Chair of the UACC. If the Chair of the SACC has a conflict of interest, the Vice-Chair shall fulfill this responsibility. Such approval shall be valid for a maximum of **8 weeks**. Protocols given Interim Approval shall be subject to **Full Review** at the next UACC meeting.

***PLEASE NOTE: Interim approval of a protocol will only be given to a small minority of protocols, where there is a clearly urgent need to proceed.**

Multi-Site Research Review

An application for the use of animals in research and scholarship which has already received approval from another CCAC accredited institution, and where the animals are being housed and the experiments are conducted at another institution, may be reviewed under the Multi-Site Research Review process. In the case where the UACC Chair, Veterinarian and Community Representative believe that all University of Winnipeg ethics requirements have been met, they have the authority to provide approval of the application without further review and shall report the approval of the protocol at the next meeting of the full UACC. In the case where further discussion is needed to determine whether The University of Winnipeg is likely to approve the proposal, the Chair, Veterinarian and the Community Representative may consult with the Faculty member and/or experts, or initiate the normal University of Winnipeg ethics review process.

The investigator submits **2 copies** of the completed approved protocol with cover letter (including application, proposal, approval, research measures, etc.) to the Research Office.

Renewal of Protocol

Ethics approval is granted for a period of **one year only**. If any project extends beyond that time, the investigator must apply for a renewal of the project to the UACC. **Two copies** of the completed *Animal Protocol Renewal – Short Form* are to be completed and submitted to the Research Office. **Short Form renewal may be used for three successive years** after the original approval of the protocol, after which a new complete protocol must be submitted.

*****NOTE: If a protocol is not renewed in any year, a complete new protocol must be submitted when it is re-activated.**

Amendment of Approved Protocol

Where there are **minor changes** or additions to an already approved ethics protocol are required, such as numbers of animals used, anesthetics, analgesics or other drugs or agents administered to animals, additions to personnel who will be working with live animals in the project or make minor changes in procedures from those given in the original protocol, you must submit **2 copies** of the completed *Application for Amendment to Animal Use Protocol* to the Research Office. The UACC Chair, veterinarian, and community representative review and approve all amendments. Changes may not be implemented until approval of the amendment is received.

PLEASE NOTE: Substantial changes to an approved protocol are required to undergo review at a meeting of the full UACC. Substantial changes include such things as large changes in the number of animals used and major changes to the procedures and/or objectives of a project.

Proposal Preparation

Before preparing a proposal, researchers are urged to read thoroughly these *UACC Policies and Procedures* and the *Canadian Council on Animal Care Guidelines*. **All proposals consist of the UACC Application to Use Vertebrate Animal for Research or Teaching and a detailed statement of project procedures.** Note that:

1. All applicable sections of the application must be completed, or else labeled “**Not Applicable (N/A)**”.
2. The researcher must, if appropriate, propose an ongoing review mechanism.
3. Standard Operation Procedures (SOPs) are to be used in the application. SOPs within the application should be identified by title and reference number. Where an SOP is not available, the researcher will need to create a new one and include it with the protocol. SOPs are available for reference in the Biology and Psychology animal facilities, in Biology and Psychology Departments, and in the Research Office. The complete listing of SOPs is available on the Research Office website at: <http://www.uwinnipeg.ca/index/research-animal-ethics>.
4. All necessary signatures must be obtained on the application.
5. The detailed statement of project procedures must include all information that the application indicates is required. It must be typed and presented in lay language.
6. All application responses that raise ethical questions must be addressed satisfactorily. Any other aspects of the project that are pertinent to ethics review also must be addressed.
7. Researchers must disclose in their submissions any potential conflicts of interest that may arise in the potential uses of the findings.
8. For research conducted within or in association with other institutions, a letter of permission from a person with institutional authority must be provided either with the proposal or before the project begins.
9. **Scientific Merit Peer Review Form:** In accordance with the *CCAC Policy on the Importance of Independent Peer Review of the Scientific Merit of Animal-Based Research Projects (2000)*, a proposal not reviewed by external, peer-reviewed agencies, must receive peer review to ensure that scientific merit has been demonstrated. Where evidence of good peer review is absent, **two knowledgeable scientists** who are not collaborating with the applicant in the said protocol, and at least one of whom is not a member of the SACC, must review the proposal. The Form is available in the UACC application or on the Research Office website. **Please note that the Departmental Ethics Committee is responsible for obtaining the two reviews and NOT the researcher. The forms should be submitted to the Research Office directly by the DEC c/o the Program Officer.**
10. Two copies, including the original, must be submitted.
11. Incomplete proposals received by either Departmental Committees or the Research Office will be returned to the researcher for resubmission when complete.

12. Researchers are encouraged to consult with their Departmental Ethics Committees, the Research Office and/or the Chair of the UACC, if they are uncertain what information is required or how the proposal preparation guidelines apply to their project.
13. Prior to their implementation, any alterations to procedures described in an approved proposal must be reported to the Research Office. The UACC Chair will then determine whether additional review is required, and if so, what type.

Appeals of the Departmental Ethics Committee, University Animal Care Committee or Associate Vice-President (Research) and Dean of Graduate Studies Decisions

1. Investigators may request in writing that the Departmental Committee or UACC (or both) reconsider decisions made regarding the investigator's proposals. This request should be detailed and include the reasons for their request. Such requests should be directed to the Chair of the relevant committee. In the case of the University Committee, reconsideration normally will take place at the next scheduled Committee meeting.
2. Decisions of the UACC **may not** be appealed to the University Executive or to the UACC. Appeals will be directed to the Associate Vice-President (Research) and Dean of Graduate Studies who will, in consultation with the UACC Chair and the Investigator, then select persons with the appropriate expertise to review appeals. The Associate Vice-President (Research) and Dean of Graduate Studies may also elect to have the appeal reviewed by an animal care committee from another institution. The outcome of such an appeal is **final**.

Breaches of Compliance

As the UACC is generally not present when animal use protocols are being undertaken, the Committee works with the Veterinarian and animal care staff to ensure compliance with its decisions and with the conditions set out in approved protocols. The Veterinarian and animal care staff must work in a collegial manner with animal users and attempt to correct deficiencies collaboratively. Where there are persistent breaches of compliance or threats to the health and safety of personnel or animals, these must be reported back to the Chair of the UACC, who must promptly address these issues, through communications with the animal user(s), meetings and site visits, and eventually communications with the Associate Vice-President (Research) and Dean of Graduate Studies as necessary.

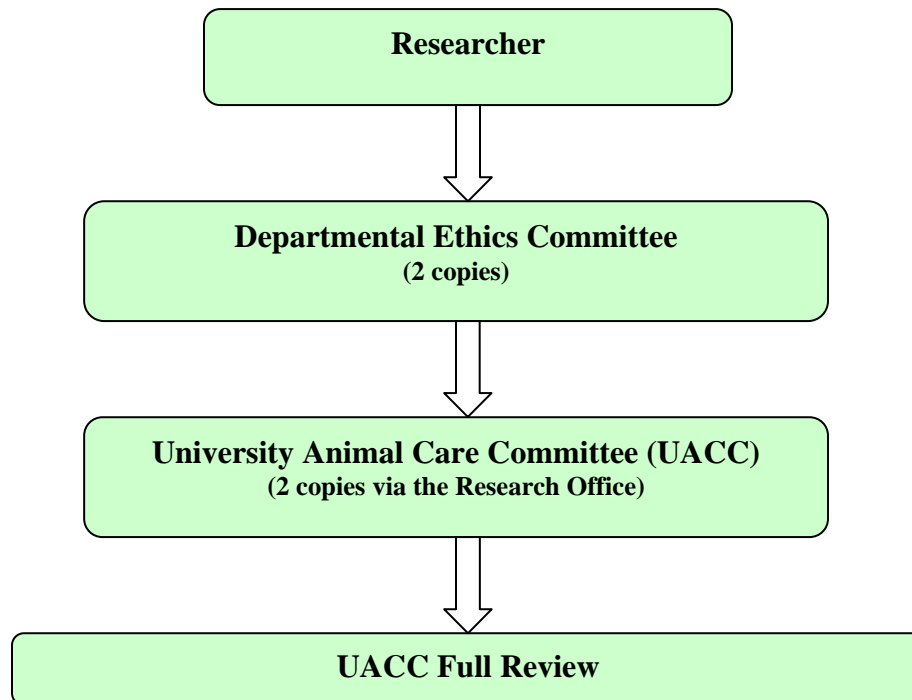
The UACC is responsible for determining and working to correct breaches of compliance with approved animal use protocols and SOPs. Breaches of compliance that cannot be corrected by the UACC working with the concerned animal users, Veterinarian and animal care staff must be referred to the Associate Vice-President (Research) and Dean of Graduate Studies, who must inform all members of the animal care and use program about the sanctions that will be taken by the administration in the event of serious breaches of compliance.



THE UNIVERSITY OF
WINNIPEG

THINK  LINK
UWINNIPEG RESEARCH

ANIMAL ETHICS REVIEW FLOWCHART



Notes:

1. **Renewal** – reviewed by the UACC Chair, Community Representative and Veterinarian (2 copies via the Research Office)
2. **Amendment** - reviewed by the UACC Chair, Community Representative and Veterinarian (2 copies via the Research Office)
3. **Multi-Site Research Review**- reviewed by the UACC Chair, Community Representative and Veterinarian (2 copies via the Research Office)