



# THE UNIVERSITY OF WINNIPEG

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**PROCEDURE TITLE:** Animal Care Procedures

**EFFECTIVE DATE:** November 14, 2017

**APPROVAL BODY:** University Administration

## **PROCEDURE PURPOSE**

The purpose of these Procedures is to set forth the specific actions that will be taken to implement the Animal Care Policy.

## **RESPONSIBILITY**

The Vice-President, Research and Innovation (VPR) is responsible for the development, administration and review of these Procedures. The University Animal Care Committee (UACC) reports to the Vice-President, Research and Innovation, and oversees the administrative aspects of research involving animals (vertebrates and cephalopods). It is the responsibility of the UACC to establish and oversee appropriate procedures to ensure ethical conduct of research involving animals and compliance with the Canadian Council on Animal Care (CCAC) standards.

## **KEY DEFINITIONS**

Not Applicable

## **PROCEDURE ELEMENTS**

### **Time Frame and Procedures for Review**

All new animal use ethics protocols, including a PDF copy of the signed Declaration form, must be submitted to the Research Office through WebGrants. Protocols received by the Research Office prior to the publicized deadline normally will be reviewed at the next scheduled UACC meeting. Where the protocol may require external review or involve ethical issues and so necessitate more time for consultation, revision, or committee discussion, the researcher shall allow sufficient time for such activity to take place in advance of any critical dates. The researcher shall



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consult with animal care staff, particularly the University Veterinarian, prior to protocol submission as appropriate so as to reduce time later required for UACC review. Because the UACC needs sufficient time to distribute and read protocols prior to the meeting, protocols received between the submission deadline and the meeting date will not be reviewed until the subsequent scheduled UACC meeting.

Refer to the Research website for scheduled UACC meeting dates and deadlines, as well as instructions on completing and submitting the WebGrants ethics application forms.

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

Researchers will be notified of the outcome of the UACC review within two (2) working days with an approval form and an email. More time may be required if issues arise in the UACC meeting that necessitate consultation or protocol revision, and/or the committee requires that the protocol be revised and considered further at the next committee meeting.

Following protocol approval a copy of the approved protocol will be forwarded to the animal care technicians 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 by the UACC Co-ordinator to the technician or facility manager authorized to order animals, as well as to the facility animal care technicians and the Purchasing office. Animals must be ordered as outlined in the Form. Without an official Animal Order Notification Form, or where the animals are not as listed/described in the Form, animals will not be permitted into the animal complex.

## **Interim Protocol Review**

In exceptional instances, 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, the



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Chair of the UACC and a competent scientist (who may also be the Chair of the UACC). If the Chair of the UACC has a conflict of interest (e.g., if the Chair is the applicant), the Vice-Chair shall fulfill this responsibility. Such approval shall be valid for a maximum of 45 days. Protocols given Interim Approval will be subject to Full Review at the next UACC meeting.

## **Multi-Site Research Review**

A protocol 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 as follows: the researcher submits one copy of the completed approved protocol with a cover letter (including application, proposal, approval, research measures, etc.) to the Research Office. In the case where the UACC Chair, University Veterinarian and Community Representative believe that all University of Winnipeg ethics requirements have been met, they have the authority to provide approval of the protocol 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 protocol, the Chair, University Veterinarian, and the Community Representative may consult with the Faculty member and/or experts, or initiate the full University of Winnipeg ethics review process as outlined in this Animal Care Procedures document.

## **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 protocol to the UACC sufficiently in advance of the expiry date that a decision shall have been made prior to expiry of the existing one-year approval. Applications for short form renewal are submitted through WebGrants using the Animal Ethics Renewal post-approval activity form. 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.



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

## **Amendment of Approved Protocol**

Where 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 to make **minor** changes in procedures from those given in the original protocol, the completed Animal Ethics Amendment post-approval activity form must be submitted through WebGrants to the Research Office. The UACC Chair, University Veterinarian, and Community Representative review and approve all amendments. Changes may not be implemented until approval of the amendment is received.

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, particularly those which result in a higher CCAC Category of Invasiveness. The decision whether or not such changes require submission of a new protocol is at the discretion of the University Veterinarian. Refer to the guidelines document found on the Research Office website.

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

## **Protocol Preparation**

Before preparing a protocol, researchers are urged to read thoroughly these UACC Policies and Procedures and the Canadian Council on Animal Care Guidelines. All protocols consist of the UACC *Animal Ethics Application* found in WebGrants and a detailed statement of project procedures. Please note the following:

1. All sections of the application must be completed, or else labeled "Not Applicable (N/A)".



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2. The researcher must, if appropriate, propose an ongoing review mechanism.
3. Standard Operating 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 must create a new one and include it with the protocol for approval. SOPs are available for reference in the Vivarium 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>. [TO BE UPDATED]
4. A copy of the Declaration form must be printed, signed and attached to the WebGrants animal use application form.
5. The detailed statement of project procedures must include all information that the application indicates is required, presented in language that can be understood by non-scientists.
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 protocols any potential conflicts of interest that may arise in the potential uses of the findings (e.g., researcher is a UACC member).
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 protocol 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 teaching or research protocol 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



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member of the UACC, must review the protocol. Please note that the Research Office is responsible for obtaining the two reviews and NOT the researcher. However, researchers are encouraged to recommend potential reviewers. Please allow additional time for the process of peer review.

10. Incomplete protocols received by the Research Office will be sent back to the researcher through WebGrants for resubmission when complete.
12. Researchers are encouraged to consult with the Research Office and/or the Chair of the UACC if they are uncertain what information is required or how the protocol preparation guidelines apply to their project.
13. Prior to their implementation, any alterations to procedures described in an approved protocol must be reported to the Research Office. The UACC Chair and/or the University Veterinarian will then determine whether additional review is required, and if so, what type.

## **Appeals of the University Animal Care Committee Decisions**

1. Researchers may request in writing that the UACC reconsider a decision made regarding the researcher's protocol. This request should be detailed and include the reasons for their request. Such requests should be directed to the Chair of the Committee, who will include them in the agenda for a subsequent Committee meeting according to the time frame outlined above.
2. Decisions of the UACC may only be appealed to the Vice-President, Research and Innovation, who will, in consultation with the UACC Chair and the researcher, then select persons with the appropriate expertise to review appeals. The committee so constituted by the VPR shall have the authority to set its own procedures for dealing with the appeal, including seeking additional information, determining whether to consider only the submitted materials or to hear from the investigator or others in person. Once the committee has decided



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whether or not to uphold the appeal, it will report back to the VPR giving reasons for its decision.

3. The Vice-President, Research and Innovation may also elect to have the appeal reviewed by an animal care committee from another institution.
4. Decisions of the committee constituted by the VPR as set out in 2. above, or of the animal care committee of another institution as set out in 3. above, are final and there is no further right of appeal.

## **Breaches of Compliance**

1. As the UACC is generally not present when animal use protocols are being undertaken, the Committee works through its Post Approval Monitoring (PAM) program (see Animal Care Policy article 5.5) and with the University Veterinarian and animal care staff to ensure compliance with its decisions and with the conditions set out in approved protocols. The University Veterinarian and animal care staff shall work in a collegial manner with animal users and attempt to correct deficiencies collaboratively.
2. Where there are persistent breaches of compliance or threats to the health and safety of personnel or animals, these shall 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 communications with the Vice-President, Research and Innovation.
3. The UACC delegates to the University Veterinarian the authority to treat, remove from a study, or euthanize, if necessary, an animal according to the University Veterinarian's professional judgment. The University Veterinarian must attempt to contact the animal user whose animal is in poor condition before beginning any treatment that has not previously been agreed upon, and must also attempt to contact the UACC Chair, but the University Veterinarian has the authority to proceed with any necessary emergency measures,



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whether or not the animal user and UACC Chair are available. A written report shall be sent by the University Veterinarian to the animal user and to the UACC following any such event.

4. Serious breaches of compliance shall be referred to the Vice-President, Research and Innovation, for further or other sanctions or action. In extreme cases, the researcher's access to current and future research funding will be suspended.

## ASSOCIATED POLICY

- Animal Care Policy

## RELATED POLICIES & PROCEDURES

- Not Applicable

## RELEVANT DATES

**Originally Issued:** August 2013

**Revised:** November 10, 2017

**Effective:** November 14, 2017

**Scheduled Review:** Fall 2022