

**The UNIVERSITY of WESTERN ONTARIO**  
**POLICIES and PROCEDURES**

**7.12 POLICY AND PROCEDURES FOR THE USE OF ANIMALS IN RESEARCH, TESTING AND TEACHING**

Classification: Research

Effective Date: 26NOV09

Supersedes: 26SEP06

**1. Accountabilities**

1.1. The University Council on Animal Care ([UCAC](#)) is responsible to Senate for all aspects of procurement, maintenance and use of animals as defined by the Canadian Council on Animal Care (CCAC), hereafter referred to as “animals,” in research, testing and teaching. UCAC shall ensure adequate institutional oversight according to the outlined procedures in this document, and as outlined within its *Terms of Reference*.

1.1.1. The Vice-President (Research) will act as UCAC Chair.

1.2. The Vice-President (Research) is the senior administrative officer of the University responsible for the care and use of animals at the University and its affiliated institutions - London Health Sciences Centre/Lawson Health Research Institute, St. Joseph’s Hospital, Robarts Research Institute, Siebens-Drake Medical Research Institute, Huron University College, Kings University College, Brescia University College, Child and Parent Resource Institute.

1.3. A subcommittee of the UCAC, the Animal Care Governance Steering Committee ([ACGSC](#)) is responsible for reviewing matters on behalf of the UCAC and advising the Animal Use Subcommittee on matters requiring time-sensitive consideration, as outlined within its *Terms of Reference*.

1.4. A subcommittee of UCAC, the Animal Use Subcommittee ([AUS](#)) is responsible to UCAC for ensuring that the care and use of animals associated with the University’s research, testing and teaching activities are in compliance with all Federal, Provincial, and University policy statutory requirements, regulations and guidelines, as outlined within the *Terms of Reference* of ACGSC.

1.5. The Department of Animal Care and Veterinary Services (ACVS), under the leadership of its Director and directly accountable to the Vice-President (Research), serves the University and its affiliated institutions, its associated committees, and the research community, by ensuring animal care and use meets all Federal, Provincial, and University policy statutory requirements, regulations, and guidelines, and by facilitating the research of scientists using CCAC-defined animal models.

1.6. ACVS Veterinary Services staff, Institutional Compliance Officers, Facility Managers, Animal Care staff, Principal Investigators, and research staff, share responsibility for the ongoing assessment and maintenance of appropriate animal care and welfare.

1.7. Any Principal Investigator or instructor intending to use animals for research, testing or teaching in association with the University or its affiliates must be a University faculty member or veterinarian or LHSC-Lawson appointed scientist, unless otherwise approved by the AUS.

**2. General**

2.1. Procedures outlined herein apply to all instances of research, testing and teaching involving animals performed at The University of Western Ontario, affiliated hospitals, affiliated university colleges and research institutes; to field research that involves more than simple observation (e.g., trapping, artificial provisioning); and, to Principal Investigators or instructors, as per 1.7, carrying out research at another institution or field station.

2.2. Failure to comply with the procedures outlined herein may prevent approval of *Animal Use Protocols* (AUPs), and may result in the withdrawal of AUP approval by AUS. As warranted by the severity of circumstances, this may also include revoking University approval for research, testing and teaching involving animals, and notification of this decision to Department Chairs, Institute Heads, and appropriate granting and licensing agencies.

### 3. Animal Use Protocols (AUPs)

- 3.1. AUP form content, review and approval policies and processes will be developed and undertaken in accordance with all Federal, Provincial, and University policy statutory requirements and guidelines, and as detailed within the *Animal Use Subcommittee's Terms of Reference*.
- 3.2. If any AUP content is at variance with the aforementioned guidelines, scientific justification will be required.
- 3.3. The review and approval of AUP forms by the AUS is required prior to the commencement of all research, testing and teaching involving animals.
- 3.4. Assurances to funding agencies will be provided upon AUP approval.
- 3.5. Pursuant to existing policy of the University and of the broader scientific community, the Protocol is considered to be the intellectual property of the researcher, available only for confidential use by authorized individuals and not for distribution.

### 4. Post Approval Monitoring and Non-Compliance Response

- 4.1. The *AUS Post Approval Monitoring Policy* will be followed in order to monitor animal care and use and ensure compliance with the approved AUP.
- 4.2. Post approval monitoring (PAM) is undertaken by multiple sources and centralized through the ACVS Protocol Support Veterinarian (PS Vet), as outlined within the *AUS Post Approval Monitoring Policy*.
  - 4.2.1. All individuals under the jurisdiction of UCAC, including animal users, scientists, research staff, animal care workers, compliance officers, facility managers, and ACVS staff are required to report any and all unanticipated animal welfare, care or use problems, or complications to the AUS through the PS Vet.
- 4.3. Procedural and Ethical non-compliance are defined, and the associated response steps are outlined within the *AUS Post Approval Monitoring Policy* document.
  - 4.3.1. When matters of non-compliance are identified through PAM sources, non-compliance response involves the collaboration of the PS Vet or another ACVS veterinarian, AUS PI Representatives, other AUS members, as required, and animal users towards collegial issue resolution.
  - 4.3.2. The Principal Investigator will be informed in writing of the decision of AUS and the reasons for the decision.
  - 4.3.3. The Principal Investigator and any other personnel involved must comply with the decision of AUS pending the outcome of any appeal.
  - 4.3.4. If the decision is appealed by the investigator and AUS did not terminate animal use or procedures, the ACVS Director will determine whether or not animal use may continue during any period of appeal. If the Director of ACVS decides that there is an immediate and serious threat to the health or safety of the animals or personnel, he or she may suspend animal use until disposition of the appeal. Such a decision cannot be appealed.
- 4.4. **Facility Access** - In order to facilitate post approval monitoring and non-compliance response, the AUS Chair or designate(s) and ACVS Veterinarians will have unrestricted access to all animal facilities at all times. The associated AUS-approved Standard Operating Procedure will be followed to ensure that access does not adversely impact the health status of any facility.
- 4.5. **CCAC-Mandated Training** - The AUS will ensure that all personnel listed on the AUP have been appropriately trained according to the expectations defined in the CCAC Guidelines and Policy Statements and as provided for in [MAPP 7.10](#) "Standardized Training in Animal Care and Use". The ACVS Research Education Team will facilitate CCAC mandated training on behalf of the AUS.

## 5. Other Procedures

- 5.1. **Animal Procurement** – Animals may only be acquired on an approved AUP. Procurement of animals other than through the manager/office of the designated facility where animals will be housed is not permitted. Managers are permitted to order only animals approved to be housed in their facility, unless prior permission has been obtained from the AUS Chair or designate, who shall be advised on the matter by the ACVS Director.
- 5.2. **Animal Transfers** – When animals are transferred from Western or its affiliates to an external institution, the AUS will ensure that an associated *Animal Use Protocol* approved by the external institution's animal care committee is in place.
- 5.3. **Health Monitoring** - Surveillance of animal health will follow AUS-approved standard operating procedures and will be centrally coordinated by ACVS so as to facilitate the transfer of animals between rodent barriers of equivalent health status; conventional facilities of equivalent health status; and specialized areas such as imaging equipment.
  - 5.3.1. Principal Investigators and Facility Managers shall record all unexpected animal deaths and notify ACVS. Wherever possible bodies are to be held for post-mortem examination by an ACVS Veterinarian.
- 5.4. **Cell Line & Biological Testing** – Testing of cell lines and biologicals shall follow AUS-approved standard operating procedures.

## 6. Appeals

- 6.1. Appeals of AUS decisions must be made to the Chair of the Animal Care Governance Steering Committee (ACGSC), c/o the University Secretariat, in writing, within 30 days of a decision.
- 6.2. The Letter of Appeal must set out in detail a full description of the matter under appeal; the grounds of appeal; a copy of the AUS decision; and all supporting documentation. Appeals may be made on either, or both, of the following grounds: that the decision was inappropriate or unreasonable in light of the evidence (scientific or other) presented to AUS, and that the review of AUS lacked procedural fairness.
- 6.3. Within three weeks of receipt by the Chair of the ACGSC of an appeal notice, the ACGSC will hold a preliminary meeting and AUS will forward to the ACGSC Chair, c/o the University Secretariat, full documentation pertaining to the appeal.
- 6.4. Parties to the appeal shall be given copies of all material filed with the ACGSC, and given an opportunity to be heard. Opinions of external experts may be provided to the ACGSC by the parties.
- 6.5. Meetings of the ACGSC held for consideration of appeals shall include as non-voting members University legal counsel and the Secretary of Senate (or designate).
- 6.6. At the preliminary meeting the ACGSC will establish its own procedures for hearing an appeal and will determine its decision-making basis preference for either written submissions or an oral hearing.
  - 6.6.1. If the appeal is made regarding a decision to disallow animal use or to terminate a research, testing, or teaching activity, the ACGSC must hold an oral hearing.
- 6.7. The parties will be advised of this decision.
- 6.8. In the case of an appeal by a Principal Investigator or instructor, the parties to the appeal are the Principal Investigator, AUS and the ACVS Director.
- 6.9. In the case of an appeal by an ACVS Veterinarian, the parties to the appeal are the ACVS veterinarian, AUS, the ACVS Director, and the Principal Investigator.
- 6.10. The right to be represented by counsel will be accorded to the principal parties to the appeal. The ACGSC also reserves the right to retain counsel.

- 6.11. Deliberations of the ACGSC will be held in camera.
- 6.12. The Committee's decision will be based on a "balance of probabilities" standard.
- 6.13. Each voting member of the Committee must cast a vote; there will be no abstentions.
- 6.14. The ACGSC may:
  - 6.14.1. Deny the appeal,
  - 6.14.2. Grant the appeal and quash or modify the original decision, or
  - 6.14.3. Direct AUS to re-hear the matter or reconsider some pertinent aspect of its decision.
- 6.15. The parties to the appeal will be informed in writing of the decision of the ACGSC, and the reasons for the decision, within a reasonable time following the hearing. The decision, including reasons, will be reported to UCAC and AUS at their next regular meetings. Other individuals will be notified of the decision on a need to know basis only as determined by the ACGSC.
- 6.16. The decision of the ACGSC is final.
- 6.17. Costs will not be awarded by the ACGSC.