# University Council on Animal Care

## Policies and Procedures Terms & Definitions

**Approval Date:** 30MAY2018  
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Animal and Facility-Related Documentation – Written records associated with animals including but not limited to:

- AUPs and appended monitoring/scoring sheets
- AUP, animal and facility-related Standard Operating Procedures
- Animal Records and Cage Cards, as per the Animal Care & Use Records Policy (POL-003),
- Sick Animal Records - animal morbidity and mortality logs, as per the Sick Animal Response Policy (POL-009),
- facility-level Concern Reports, as per the Concerns Identification, Project Refinement and Corrective Response Policy (POL-004)

Animal-Based Science – Branches of science where animals are used in research, teaching or testing

Animal Care & Veterinary Services (ACVS) – A department directly accountable to the Vice President (Research) for providing specialized veterinary and other administrative services that support the animal ethics and care program within Western’s Research Community, in consultation with the University Council on Animal Care, the Animal Care Committee, institutional senior administrators and officers and animal-based scientists

Animal Care Committee (ACC) – A subcommittee of the University Council on Animal Care; the institutional animal care committee “responsible for overseeing all aspects of animal care and use and for working with animal users, animal care personnel and the institutional administration” (CCAC); responsible to ensure animal ethics and care for animal-based science and animal displays directly associated with Western’s Research Community is in accordance with all regulatory and institutional policies and guidelines

ACC Coordinator – An administrative role and ACC member dedicated to providing the ACC and PIs and their staff with support for ACC and AUP-related activities, as outlined by CCAC

ACC Designate – An ACC member or Institutional stakeholder, e.g. animal health professional, who is arms-length from the animal-based science under evaluation, assigned by the ACC to act on its behalf in accordance with specific UCAC policies and ACC procedures, and who formally reports back to the ACC or its Executive regarding actions taken on the committee’s behalf
ACC Directed AUPs – Animal Use Protocols identified by the ACC as requiring Institutional Veterinarian evaluation of procedures and/or other aspects of the animal model in order to understand and/or confirm their impact upon the animal

ACC Executive – An ACC working group, as per the ACC Terms of Reference, that provides real-time feedback and support to institutional stakeholders accountable for the animal care and use program; provides leadership for animal ethics reviews; acts as front-line responders to Concerns brought to its attention, as outlined within UCAC’s Concerns Identification, Project Refinement and Corrective Response Policy (POL-004); receives updates from ACC designates regarding their mandated activities; provides direction and support to other ACC working groups; and relays decisions to the full ACC

ACC Field Study Evaluation Report Template – A report template used by the ACC and its designates for its evaluations of Field Research

ACC Leaders – The ACC Chair and Vice Chairs, as per the ACC’s Terms of Reference

ACC Site Visits - Formal site visits undertaken by members of the ACC Site Visit Team. The intent is to assess annually the animal ethics and care program at each of the animal facilities and labs across Western’s Research Community, with the exception of Procedure spaces dedicated to CO2 euthanasia, which require bi-annual visits. Recommendations from these visits may impact the frequency of Continuing Care Visits performed by other Institutional stakeholders.

ACC Site Visit Checklist – A checklist followed by ACC Site Visit Team during visits to ensure focused observations and feedback

ACC Site Visit Report Template – A standard template used to record all official information arising from ACC Site Visits

ACC Site Visit Team – Minimum of three members to include an Institutional Veterinarian, an ACC animal-based scientist, and at minimum one other ACC member, as per its Terms of Reference

Animal Care Facility – An ACC approved vivarium that has been purpose-built in alignment with national and provincial regulations, and is used to house – containment and animal husbandry activities - animals for at least 72 hours, or for the life of an animal, whichever is less, involved in ACC approved animal-based science activities within Western’s Research Community. This definition includes non-arms-length-managed (NALM) sites.

Animal Care (AC) Facility Supervisor – A trained, competent individual responsible for the oversight of an Animal Care Facility that houses research animals beyond 72 hours, and who is accountable to the Institutional Veterinarian as regards animal health and welfare related matters

Animal Holding Area – A space designated to house / hold live animals for any length of time

Animal Morbidity –
A. For Purposes of Veterinary Interventions & Post Mortems – Any Sick animal’s condition that is beyond the experimental parameters identified in the related AUP

B. For Purposes of Morbidity Log Record-Keeping – All Sick animals

Animal Mortality – Any animal that has died under any circumstance or condition, with the exception of one that has reached its experimental endpoint, as outlined within the related AUP. Includes animals found dead and morbid animals requiring early euthanasia.

Animal Procurement – The acquisition of live animals from either commercial or non-commercial sources, including breeding sources, for use in animal-based science associated with ACC-approved AUPs. Procurement involves the assessment of both supplier and animal quality, animal transport, and animal conditioning post-arrival.

Animal Procurement Administrator - ACC-approved arms-length individuals having no direct reporting accountability to the related research, including arms-length facility supervisors or designates of Victoria Research Laboratories, St. Joseph’s Animal Facility and Animal Care and Veterinary Services, and others who have received ACC pre-approval to procure animals involved in animal-based science activities in accordance with the Research Animal Procurement Policy (POL-008) and Procedures (PROC-008)

Animal Procurement Records – Documents directly associated with the procurement of animals including but not limited to animal health reports, requisition forms, vendor invoices, related permits and transport records

Animal Procurement Sources – ACC-approved commercial and non-commercial suppliers of animals used in animal-based science

Animal Records – Legibly written documentation located within the animal holding area as per the Animal Care and Use Records Policy (POL-003) and facility Standard Operating Procedures (e.g. cage-side SAR form, approved AUP monitoring records, PI specific in-room animal binder) - in addition to and separate from Cage Card information - that chronologically and in real-time outlines all animal events, observations, actions and outcomes

Animal Use Protocol (AUP) – The ACC’s mandatory animal ethics form that contains details of a AUP holder’s intended live vertebrate animal care and use, which must be reviewed and approved by the ACC in advance of animal-based science or public viewing of displayed animals

AUP Drift – Animal-based science activities that depart from the approved AUP

Animal Users – all individuals who either use in animal-based science, or are employed to care for ‘animals,’ as defined by the Canadian Council on Animal Care (CCAC).

Annual Protocol Renewal – A form required within one year of AUP approval for each continuance of the approved AUP up to three subsequent years, which must be reviewed by at minimum by a
scientist, Institutional Veterinarian, or animal health professional designate, and Community Representative.

**Basic Care & Use Animal Ethics Course** – A CCAC-mandated online course focused on the ethics of animal use within animal-based science activities, and administered by designates of the ACC

**Blinder** – An object, similar in appearance to a Frisbee, hung on the front of a cage to allow an animal to control his/her own visual stimuli that acts as a visual barrier

**Canadian Association for Laboratory Animal Medicine (CALAM)** – A national organization for veterinarians whose vision is to be recognized and respected as leaders in laboratory animal welfare; committed to excellence in laboratory animal medicine and welfare for the global advancement of science, health and education; the group responsible for *CALAM’s Standards of Veterinary Care*, which is referenced by national and provincial regulators

**Canadian Council on Animal Care (CCAC)** – A not-for-profit organization, created in 1968 to oversee the ethical use and care of animals in science (research, teaching and testing) throughout Canada on behalf of Tri-Agency and the Canadian public; responsible for developing national policies and guidelines, assessing research facilities’ compliance with these standards, and administering the Certificate of GAP to compliant facilities

**Certificate of GAP** - A CCAC Certificate of GAP – Good Animal Practice® is earned by institutions that:

- participate fully in the CCAC Program
- have been assessed by assessment panels composed of scientists, veterinarians and community representatives
- have been found by the panel and by the CCAC Assessment and Certification Committee to have standards of experimental animal care and use which satisfy the CCAC’s guidelines and policy statements

**Cognitive Enrichment** - The NHP Environmental Enrichment program shall include exposure to a variety of intellectual enrichment opportunities to promote and utilize dexterity, coordination, and cognitive abilities (e.g. via the use of task-oriented feeders). Important considerations in the provision of Non-Human Primate toys/devices include, but are not limited to, chemical and heat resistance, durability (depending on the nature of the item), comprised of non-toxic materials, and ensuring a rotation to mitigate boredom

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Competency — as per CCAC, the ability to effectively perform a particular task in relation to the care, maintenance or use of animals, while ensuring their welfare is protected as far as possible within the constraints of any approved AUPs.²

Concerns – Anything communicated to any member regarding animal health and/or welfare, human safety, and AUP-related issues. Concerns that cannot be readily resolved will be reviewed by the ACC Executive, as appropriate. Concerns will be communicated to the PI before they are classified as either Incidents or Non-Compliance

Concerns Identification, Project Refinement and Corrective Response Policy and Procedures – A framework for Western’s Animal Care Committee to effectively and collegially assess concerns and then respond to incidents and non-compliance pertaining to animal-based science

Concerns Identification and Project Refinement Procedures – A series of flow charts that illustrate the stepwise process for identifying, following up on and resolving Concerns, Incidents, and Non-Compliance

Conspecific - Animals that are members of the same species

Continuing Care Visits (CCVs) – Formal visits/rounds undertaken by ACC Designates that support the ACC in fulfilling its mandate to ensure appropriate oversight of animal-based science within Western’s Research Community

Continuing Care Visits (CCV) Log – A standardized, sortable, reportable electronic record used and maintained by those responsible to undertake CCVs on behalf of the ACC that is submitted to the ACC Executive and full ACC. This record contains at minimum the following highlights:

- Location visited
- Date of visit
- Follow-Up Status: Actionable, Non-Actionable
- ACC Notified: Y/N

Continuing Care Visits (CCV) Report Template – Standardized ACC-approved forms/checklists used by ACC Designates to record details associated with Continuing Care Visits, e.g. ACC Site Visit Checklist, ACC Site Visit Report Template.

Continuing Care Visits (CCV) Risk Analysis Record – A listing of all housing and procedure areas associated with ACC-approved AUPs that is developed by Institutional Veterinarians and approved by the

² Canadian Council on Animal Care. CCAC Guidelines on: training of personnel working with animals in science. P.5
ACC Executive. Each location within the record is assigned risk levels based upon the following considerations:

- **Animal Use Protocol Content**
  - Species - Prioritize ethically sensitive species, e.g. NHPs, dogs, cats
  - Category of Invasiveness
  - Novel nature of animal procedures or project, e.g. Pilot Studies
  - Frequency of procedures performed on an animal or animal group
  - Procedures that have the potential for causing problems in the animal model
  - Any long and/or invasive procedures including but not limited to long anesthesia times

- **Non-arms-length versus arms-length managed areas**
  - Degree and frequency of oversight by arms-length individuals
  - Accountability structure of individual responsible for animal care

- **Post Approval Monitoring History**
  - Animal Care Committee Annual Site Visits
  - AUP Compliance, e.g. recurring issues relating to animal health and welfare
  - Facility and Research Staff Feedback - Concerns regarding use, care, monitoring, endpoints, AUP non-alignment
  - Directives from the ACC
  - Directives from external regulators, e.g. OMAFRA, CCAC, OLAW

**Crisis Management Plan** – A document reviewed and approved by institutional stakeholders responsible for human and animal safety that outlines in detail the strategies designed to help stakeholders deal with a sudden and significant negative event associated within an Animal Care Facility or Animal Holding Area. Crisis Management Plans should proactively identify potential risks; establish monitoring systems and practices to detect early warning signals of any foreseeable crisis; establish and train a crisis management team; and involve as many stakeholders as possible in all planning and action stages. Topics to include fire, flood, power outages, disease outbreak, or other threats to the well-being of animals and/or people that work in these areas

**Critical Animal** – A Sick animal having serious to severe health concerns, as determined by an Institutional Veterinarian that requires immediate intervention in order to relieve unnecessary or unacceptable pain or suffering

**Designate** – An individual who is adequately trained and appropriately experienced with the animals under his/her care/oversight and who is authorized to act on behalf of his/her direct supervisor

**Designated Animals** – All other animals than those identified as Directed Animals whose initial diagnosis and treatment have been designated to SAR Designates, e.g. Veterinary Technicians, Animal Care Supervisors, trained and competent PIs, and their staff

- Includes all species not listed as directed, e.g. rodents, birds and fish
- Non-critical health concerns
• Non-critical sick animals associated with experimental groups with no known history of increased morbidity
• Non-critical animals not identified by an Institutional Veterinarian or the ACC to require his/her direct involvement

Directed Animals –
• Species - Pigs, sheep, dogs, cats, non-human primates, and rabbits
• Conditions as determined by the ACC or an Institutional Veterinarian
• Any sick animal with critical (serious to severe) health concerns
• Any sick animals associated with experimental groups experiencing increased morbidity
• Any animal identified by an Institutional Veterinarian or the ACC to require his/her direct involvement on a case-by-case basis

Environmental Enrichment - Improvements to an animal’s environment that provide additional benefit to the animal within the context of the animals’ natural behaviour and biology; enhancing the environment of confined animals in order to encourage natural behaviours and improve their quality of life.

Environmental Monitoring Systems - Such monitoring is most often accomplished either by means of independent table-top thermo-hygrometers and / or by means of a centrally monitored and controlled building system

Essential Stimuli - The NHP Environmental Enrichment (EE) Program provides stimuli under all five areas deemed essential to obtaining program goals including: Social enrichment; Sensory enrichment; Structural enrichment; Feeding enrichment; and Cognitive enrichment

Exemption Request Form – An ACC-approved form to be used by PIs requesting exemption from the Inclusion of Veterinary Technicians in AUPs Policy (POL-006). This form is appended to the Procedures for Exemptions from Inclusion of Veterinary Technicians in AUPs (PROC-006).

Experimental Parameters – ACC pre-approved (via AUP) experimental conditions, procedures or research models directly attributable to the research purpose that may alter an animal’s normal physical, psychological and/or behavioural state, e.g. spinal cord injury model: lower limb paralysis

Feed Acquisition Records – A record of feed purchases to include source/supplier, lot number, milling date, acquisition date, nutrient content and quantity received

Feeding Enrichment - The NHP Environmental Enrichment program shall include the provision of food enrichment while being cognizant to limit the risk of obesity. Important aspects of NHP enrichment include providing a variety of food types, promoting foraging behaviours, the spatial distribution of items (e.g. uneven/different places in the cage area), and temporal distribution (e.g. a rotation to maintain novelty). Veterinary review is required when proposing the introduction of new feed items.
Field Research – Animal-based science involving animal subjects considered wildlife that are studied and retained in their natural or semi-natural habitat or whose animal subjects are wild-caught and subsequently housed outside of their natural habitat within an Animal Care Facility or a NALM site

Field Researcher – A researcher whose animal subjects are wildlife that are studied and retained in their natural or semi-natural habitat or whose animal subjects are wild-caught and subsequently housed outside of their natural habitat within an Animal Care Facility or a NALM site

Field Studies - The scientific study of free-living wild animals in which the subjects are studied in their natural or semi-natural habitat by animal-based scientists associated with Western’s Research Community

Full Renewal – Application to the ACC to continue an Animal Use Protocol, which takes place every four years

Gustatory - Concerned with tasting or the sense of taste

Independent Pedagogical Merit Reviewer – At arms-length from and without conflict of interest with respect to the PI whose teaching/training project or program is under review

Independent Scientific Merit Reviewer – At arms-length from and without conflict of interest with respect to the PI whose project or program is under review. With respect to his/her association with the PI applicant:

- Does not interact with the PI in the course of institutional duties,
- Not from the same immediate department or organization,
- Has not previously collaborated, published or been a co-applicant within the past five years,
- Has not been his/her student or supervisor,
- Is not a close personal friend or relative of the PI,
- Has not had long-standing scientific or personal differences with the PI,
- Is not in a position to gain or lose financially from the outcome of the review, or
- Does not believe he/she can perform an objective review.

In-Room Feed Records – In-room documentation of feed used within a given animal room to include summary of food type used, expiry date, and date of package opening

Institutional Veterinarian – A veterinarian within the Department of Animal Care and Veterinary Services that provides veterinary leadership support for the Animal Ethics and Care Program within Western’s Research Community in alignment with the CALAM’s Standards of Veterinary Care as well as external and internal regulators’ laws, policies and guidelines
Merit Review Committee – A committee of the Vice President (Research) Office comprised of animal-based scientists and experts in the field of pedagogy both internal and external to Western’s Research Community who may be selected to oversee and perform Scientific or Pedagogical Merit Reviews

Monitor Accuracy - Accuracy assessed by comparison of the monitor reading to a known reliable standard; may be performed in-house. Monitor variance from standard will be recorded for reference (either directly on the device or centrally as appropriate)

NALM Site – A macro environment where animals are housed beyond 72 hours that is not daily overseen by a facility manager or designate considered to be at arm’s-length from the research group and where animals may live out their experimental life at that site. Animals may or may not be procured directly into the site. NALM sites are primarily assessed for animal procurement, housing suitability, and appropriate husbandry practices. NALM sites do not normally include procedure areas or < 72 hour holding locations. Based upon potential risk to animal health and welfare, other areas not conforming to this definition may be identified by the ACC as NALM sites

Non-Commercial Vendor – Animal source other than a recognized vendor, e.g. academic institution, an animal-based scientist’s animal colony

Non-Conformance - Departure from any requirement established in policies and procedural documents

Non-Field Research – Research involving animal subjects studied outside of their natural or semi-natural habitat (e.g. laboratory)

Normals – Physiological, psychological and behaviourial norms for a given species

Ontario Ministry of Agriculture, Food and Rural Affairs (OMAFRA) – Provincial governing body responsible to administer the Animals for Research Act through regular unannounced inspections of all areas associated with animals used in research, teaching or testing activities

Pedagogical Merit Form – The standard form, appended to Procedures for undertaking pedagogical merit reviews, administered by the Merit Review Committee of the Vice President (Research) Office, and completed by PIs to provide information to Pedagogical Merit Reviewers, to include the intended learning outcomes, assessment methods, learning activities, the alignment of learning assessment methods with learning outcomes and activities, and efforts to identify alternatives

Pedagogical Merit Reviewer Form – The standard form, appended to Procedures for undertaking pedagogical merit reviews, used by Pedagogical Merit Reviewers to assess the necessity of using live animals in teaching or training and/or to recommend potential Teaching/Training Alternatives
Pedagogical Merit Reviewers – Expert and independent referees who act as formal assessors of the pedagogical merit of teaching/training involving live animals to determine if the involvement of live animals is essential, or if Teaching/Training Alternatives can be used.

Pilot Study – A study limited to the fewest number of animals necessary to evaluate the appropriateness, feasibility and suitability of a particular animal model, procedure, or study design to meet defined scientific objectives. Pilots may be requested by the ACC to facilitate project refinements with a view to optimizing animal welfare via direct involvement of Institutional Veterinarians focused on refining techniques and ensuring appropriate health monitoring and interventions.

Pilot Studies may be:
- stand-alone AUPs
- embedded within a full AUP - PI or ACC determined

Principal Investigator (PI) – A scientist responsible for undertaking animal-based science in alignment with an approved Animal Use Protocol under the auspices of Western’s Animal Care Committee.

Reasonable Effort - Attempts commensurate with an animal’s condition and the necessity of timely intervention, as determined by an Institutional Veterinarian.

Regulatory Requirements for Animal Procurement – Rules relating to procurement of animals used in animal-based science arising from national, federal, provincial and institutional regulations, e.g. the Animals for Research Act (R.S.O. 1990, Chapter A.22; R.R.O. 1990, Reg.22); Fish and Wildlife Conservation Act, 1997 (S.O. 1997, Chapter 41); Canadian Council on Animal Care

Related Stakeholders - Individuals involved in a regulatory activity internal to Western’s Research Community - e.g. for CCVs: PIs, AC Facility Supervisors, Institutional Veterinarians, Institutional Compliance Officers, ACC Designates, ACC Site Visit Team – or external, as applicable

Relevant NHP Stakeholders – Animal health professionals and Principal Investigators both internal and external to Western’s Research Community having significant experience with non-human primates in captivity; external regulatory agencies, e.g. CCAC, OMAFRA

Scientific Merit Form – The standard form administered by the Merit Review Committee of the Vice President (Research) Office and completed by PIs to provide information to Scientific Merit Reviewers, to include the intended project’s objectives, hypotheses, potential contributions and methodological approach

Scientific Merit Reviewer Form – The standard form used by Scientific Merit Reviewers

Scientific Merit Reviewers – Expert and independent peers involved in either basic or applied research who act as formal assessors of the scientific merit of research projects
Sensory Enrichment - The NHP Environmental Enrichment program shall include specific provisions that include stimulation of all five senses: visual, auditory, tactile, olfactory, and gustatory.

- Important visual stimuli for NHPs include duration and quality of light, colours, motion, and the ability to control and enhance stimuli (e.g. via the use of mirrors and/or blinders).
- Important auditory stimuli for NHPs include the vocalization of other primates, sounds of the environment, music and naturalistic sounds. Every attempt should be made to mitigate background noise (e.g. HVAC).
- Important tactile stimuli for NHPs include natural and artificial materials; though, exposure to natural products/sources, including conspecifics, is preferred (e.g. grooming among conspecifics).
- Important olfactory stimuli for NHPs include the provision of objects that provide the ability to scent mark their environment and novel artificial scents, if properly used (e.g. Manzanita wood that has absorbed pure peppermint extract).
- Important aspects of the provision of gustatory stimuli for NHPs include ensuring a strong variety and taking into account species and individual taste preferences.

Sick Animal – Any animal that presents clinical signs reflecting all health concerns – physiological, psychological, and/or behavioural - related or unrelated to experimental procedures

Sick Animal Response (SAR) – A framework – policy and procedures – that facilitates a consistent and appropriate response to sick animals by animal health professionals (the Institutional Veterinarian and their designates), PIs and their staff in accordance with all regulatory standards

SAR Algorithms – Sick animal diagnosis and treatment decision trees/plans developed by Institutional Veterinarians and SAR Designates in conjunction with PIs and followed by SAR Designates

SAR Designate – An Institutional-Veterinarian-approved competent individual who is designated to follow the UCAC SAR policy and veterinarian SAR Algorithms and act under the instruction of, and report accordingly to, an Institutional Veterinarian regarding sick animal interventions

Social Enrichment - The NHP Environmental Enrichment program shall include specific provisions that address the social needs of NHPs that typically exist in social groups in nature. It is the most fundamental component of any NHP enrichment program. Social enrichment involves physical contact and social interaction with members of the same species as well as humans.

Structural Enrichment - The NHP Environmental Enrichment program shall include opportunities to utilize a variety of structural elements. Important aspects of Non-Human Primate structural enrichment include complex and alternating functional spacing, height variation in regards to the placement of items, and the provision of obstacles and visual barriers. Dominance-related needs and behaviours must be taken into account when providing enrichment opportunities.
Teaching/Training Alternatives – Replacements - either absolute (non-animal models) or relative (e.g. eggs, cell cultures, tissues, or species with significantly lower potential for pain perception) - that may be used to teach or train others while maintaining learning outcomes

Three Rs Tenet – Replace – avoid or replace the use of animals wherever possible; Reduce – utilize strategies that reduce the number of animals used while maintaining experimental design; Refine – modify procedures and/or practices to reduce animal stress or pain.

University Council on Animal Care – Western’s Senate committee responsible to support the Vice President (Research) in leading the Animal Ethics and Care program directly associated with Western’s Research Community

Veterinary Technician – An animal health professional designation obtained through successful completion of a two or three year diploma from a recognized post-secondary institution

Western’s Research Community – Institutions and their departments involving animal-based scientists having Animal Use Protocols under the jurisdiction of Western’s Animal Care Committee, the ACC

Wildlife – Animals sourced from their natural habitat