

Purpose / Scope

The objectives of this policy are to outline

- requirements for affiliates of Western’s Research Community, the ‘home’ institution, who wish to undertake animal-based science activities either completely or partially outside of their ‘home’ institution through collaboration with one or more ‘host’ institutions,
- requirements for those not directly affiliated with Western’s Research Community who wish to undertake animal-based science activities within Western’s Research Community, and
- the responsibilities of the ‘home’ and ‘host’ Animal Care Committees (ACC) for overseeing this work.

This policy applies to all animal-based scientist affiliates of Western’s Research Community and their research teams whose projects involve collaborations where the **live animal work** is either divided between the ‘home’ and at least one other institution, or which take place entirely at another ‘host’ institution, including but not limited to Field Research and sabbaticals.

This policy also applies to non-affiliated animal-based research / animal health professional personnel who wish to be involved in live animal work within Western’s Research Community, e.g. external research teams, veterinary/veterinary technician internships.

See Appendix 1 for a list of activities not considered under this policy.

Rationale

As outlined in the Canadian Council on Animal Care’s (CCAC) *Guideline on Animal-Based Projects Involving Two or More Institutions* (2003)¹, the institutional ACC is responsible for overseeing the work carried out by all of its members who use animals for animal-based science activities. Consequently, the ‘home’ and ‘host’ ACCs have a shared responsibility for overseeing the work carried out by its animal-based scientists wherever this work takes place – either within or external to the home institution.

As per CCAC’s guidelines on: the care and use of wildlife, *“Home institutions or agencies should be aware of all projects being conducted by their investigators and should ensure that the procedures to be used are ethically acceptable and comply with all legislative and other applicable standards.”*²

¹ CCAC Guideline on Animal-Based Projects Involving Two or More Institutions (2003) Retrieved from https://ccac.ca/Documents/Standards/Policies/Projects_involving_two_or_more_institutions.pdf

² CCAC Guidelines on: the care and use of wildlife. Sect. B3-12

Policy Statements

1. Inter-Institutional Animal-Based Science Activities Involving Affiliates of Western's Research Community and Their Research Teams

For projects where affiliated scientists and their teams wish to undertake a collaborative project in which the live animal-based work is divided between the 'home' and 'host' institution, the animal-based scientist must submit to Western's Animal Care Committee (ACC) a full Animal Use Protocol (AUP) focused upon the animal-based work that will take place within areas **directly associated** with Western's Research Community.

- This AUP must also provide a brief description of the project as a whole, to include work that will take place outside of Western's Research Community, with a focus upon understanding the cumulative impact of procedures on the animals.
- Field studies must follow Section 3.

The Animal Care Committee must:

- review submitted AUPs, as per policy *POL-002 Animal Use Protocols*;
- understand any interactions between the institutions relative to the animal-based work, e.g. transfer of animals from one institution to another, special requirements to ensure the health and welfare of the transferred animals;
- notify the 'host' institution of the approval status and any associated conditions; and
- adjudicate any Non-Compliance Concerns (per the Concerns Policy) associated with animal-based science activities within Western's Research Community and relay these to the associated 'host' ACC.

Designates of the ACC must:

- ensure relevant training for those performing live animal work within Western's Research Community;
- undertake post approval monitoring (PAM) of animal-based science activities that take place within Western's Research Community, and
- request and review documentation received from the 'home' and 'host' institution with respect to any PAM activities associated with the host's AUP.

As needed to minimize AUP review delays, the Chairs, or designates, of both the 'home' and 'host' ACCs must communicate with one another directly to ensure mutual understanding of the project as well as institutional alignment with CCAC standards of animal ethics and care.

2. Animal-Based Science Activities Taking Place at 'Host' Institutions External to Western's Research Community

Affiliates who wish to carry out their work within a 'host' institution's facilities must align their animal-based science activities with CCAC's standards.

Western's ACC must review the AUP first to ensure it meets the ethical standards of Western's ACC and verify positive scientific or pedagogical merit. Approval 'in principle' by Western's ACC must be conditional upon approval by the 'host' institution's ACC or equivalent authority.

The 'host' institution's ACC must also approve the AUP before project commencement, and normally before animals are obtained and used, and must inform Western's ACC, or designate, of its decision, including any relevant conditions or details accompanying the decision, prior to final AUP approval by Western's ACC.

Following conditional approval by Western's ACC, Western's ACC must request from and review the 'host' institution's AUP approval including associated details/conditions and associated post-approval monitoring reports.

Host Institutions Not Accredited by CCAC, or Equivalent

In addition to the above requirements, affiliates wishing to work within a 'host' institution's facilities that do not have CCAC's accreditation or equivalent standards must provide to the ACC information pertaining to the 'host' institution's policies and practices with respect to animal health and welfare that demonstrate alignment with CCAC standards with respect to guidance on ethical considerations for care and use of animals in science as well as standards for care and use in support of animal health and welfare, and submit an AUP to Western's ACC.

Upon review of the 'host' institution's policies and practices with respect to animal health and welfare, the ACC Executive must determine the level of project oversight and any additional AUP form content.

- All significant non-alignment with institutional standards must be forwarded to the Animal Care Committee for consideration.

3. Field Research That Involves More Than One Institution/Agency

Field Researchers affiliated with Western's Research Community who will act as Principal Investigators (PIs) must submit an AUP to Western's ACC detailing projects being conducted by them irrespective of the location of their research.

Western's ACC must take the lead in providing an ethical review of AUPs directly associated with affiliated Field Researchers acting as PIs.

Affiliated Field Researchers collaborating with PIs from other institutions or agencies must provide Western's ACC with the approved AUP from the institutions or agencies of the non-affiliate.

When Field Research is conducted outside of the jurisdiction of Western, and where more than one ACC is involved in AUP review, Western's ACC, or designate, must collaborate with the host organization in order to agree-upon effective post approval monitoring.

- In the event that non-affiliated Field Researchers are not under the oversight of a regulatory body similar to the Animal Care Committee, Western's ACC will be responsible for undertaking post approval monitoring.

Field Researchers conducting wildlife studies in sites around the vicinity of Western's Research Community must apprise Western's ACC of progress.

4. Non-Affiliated Animal-Based Personnel Wishing to Perform Animal-based Work within Western’s Research Community

Non-affiliated animal-based scientists and their teams and other animal-based personnel wishing to work independently within Western’s Research Community must receive institutional pre-approval to do so, e.g. affiliation agreements and contracts, and must follow all of Western’s Animal Ethics and Care Program policies and procedures.

Non-affiliated research personnel wishing to work directly with live animals in collaboration with an affiliated animal-based scientist must:

- be added to the affiliate’s AUP,
- prove successful completion of core CCAC-mandated ‘ethics’ training, or complete Western’s Basic Care and Use online course and any appropriate supplemental online training as per the AUP, and
- demonstrate competency with respect to the specific hands-on animal techniques to be utilized during the visit.

Non-affiliated research personnel who will not work directly with live animals, e.g. animal observations, specialized machinery operation, and non-affiliated personnel who will work directly and/or indirectly with live animals in another capacity, e.g. as part of an internship program, must:

- well in advance of the visit, submit the ‘Request for Work with Live Animals within Western’s Research Community’ (see PROC-015) to the ACC Executive and receive approval, and
- be directly overseen by an appropriate affiliate.

References

- Canadian Council on Animal Care
 - Terms of Reference for Animal Care Committees
 - CCAC guidelines on:
 - Animal-Based Projects Involving Two or More Institutions (2003)
 - Frequently Asked Questions – Animal-Based Projects Involving Two or More Institutions
 - The Care and Use of Wildlife (2003)
 - Animal Use Protocol Review (1997)
- Western’s Senate
 - MAPP 7.12 –The Animal Ethics and Care Program
- Animal Care Committee. Animal Use Protocols policies and procedures (POL-002)

Revision History

Version	Date	Description of Changes	Author
00	09-09-2019	New Policy	TR/LT/EB

01	08-10-2020	Updated to align with CCAC's FAQs document (May 2020); enhance requirements for Sections 1&2; reformat; add appendix for exclusions to this policy	LT
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This policy does **not** apply to:

- the sharing of biological materials or data between institutions,
- the purchase of antibodies from a commercial source,
- contracted services such as animal-based training, animal room leasing, use of specialized equipment
- AUP Holders acting as co-supervisors for students from another CCAC-certified institution, unless the AUP Holder contributes in some way to the development of the AUP, or is involved in animal procedures
- AUP Holders who hold an adjunct position at another institution and collaborate with researchers at that institution
- Retrospective (animal-based work and data collection has already occurred) ethical review of animal-based work.