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Parent Policy: [Animal Ethics Policy](#)

## Animal Care and Use Roles and Responsibilities Procedure

<b>Office of Administrative Responsibility:</b>	Research Ethics Office (REO)
<b>Approver:</b>	Vice-President (Research)
<b>Scope:</b>	Compliance with this university procedure extends to all academic, support and excluded staff, postdoctoral fellows, and academic colleagues as outlined and defined in the Recruitment Policy (Appendix A and Appendix B: Definitions and Categories); undergraduate and graduate students; emeriti; visitors to campus, including visiting scholars; third party contractors; and volunteers who use <b>animals</b> for research, teaching or testing.

### Purpose

- Describe the membership, roles and responsibilities of the University Animal Policy and Welfare Committee (UAPWC) and its sub-committees.
- Describe the membership, roles and responsibilities of the Animal Care and Use Committees (ACUCs).
- Describe the roles and responsibilities of the **animal services units**.

### **PROCEDURE**

1. UNIVERSITY ANIMAL POLICY AND WELFARE COMMITTEE (UAPWC)
  - a. UAPWC is a standing committee of the Vice-President (Research) and is the institutional animal care and use committee for the University of Alberta. UAPWC oversees all animal care and use performed under the jurisdiction of the University to ensure humane and ethical treatment of animals in compliance with University and **Canadian Council on Animal Care (CCAC)** policies, guidelines, standards and procedures. As the institutional animal care and use committee, UAPWC:
    - i. recommends to the Vice-President (Research) on policies, procedures and standards for animal care and use at the University;
    - ii. oversees and monitors the work of ACUCs to which it has delegated responsibility for reviewing and managing animal use applications and ensures that ACUCs meet or exceed CCAC guidelines on animal care use;
    - iii. ensures all animal users are aware of their responsibility to remain in compliance with University standards for animal care and use;
    - iv. supports and promotes education and training opportunities for University staff and trainees on the ethics of animal care and use in research, teaching and testing;
    - v. advises the Vice-President (Research) about significant events in animal care and use and provides an annual report to the Vice-President (Research) on the status of the University's animal care and use program;
    - vi. directs and promotes the post-approval monitoring program for animal care and use;
    - vii. recommends to the Vice-President (Research) on the construction, maintenance, or closure of University animal facilities;

- viii. supports and promotes communication among and between the animal services units, **Principal Investigators (PIs)** and ACUCs to facilitate integrated and collaborative delivery of a comprehensive University-wide institutional animal care and use program;
  - ix. reviews regularly (at least every three years) the *Animal Ethics Policy and Procedures*;
  - x. hears appeals by PIs of negative decisions by an ACUC (see *Animal Care and Use Committee Appeal Procedure*), and
  - xi. supports a coordinated crisis management program for the animal services units in conjunction with the University's Integrated Emergency Master Plan.
- b. The Vice-President (Research) will appoint the following members, typically for three-year terms: the UAPWC Chair, two graduate student representatives, a representative of faculty animal users, a faculty member who does not engage in animal care and use, and two community members.

The following are *ex officio* members of UAPWC: the Vice-President (Research) or designate, the University Veterinarian, the Director of REO, the Associate/Vice Deans (Research) of the Faculty of Science, the Faculty of Agricultural, Life and Environmental Sciences and the Faculty of Medicine and Dentistry, the Chairs of ACUCs, the Directors of the animal services units, a representative of Environment, Health and Safety, the Animal Care and Use Consultant and the Chair of the Cross Cancer Institute Animal Care Committee.

- c. UAPWC will meet at least twice per year and as often as necessary to fulfil its responsibilities. Quorum will constitute 50% of the membership plus one, including at least one veterinarian, one ACUC Chair and one community member. REO will serve as the secretariat for UAPWC.

## 2. COMMITTEE FOR ANIMAL RESOURCES (CAR)

- a. CAR is a standing committee of UAPWC. CAR concerns itself with evaluation of and planning for University animal facility use and development. It is comprised of the University Veterinarian, the Director of REO, the Directors of the animal services units, a representative from Environment, Health and Safety, a representative from Facilities and Operations, the Associate/Vice Deans (Research) of the Faculties in which animal research is undertaken and the Chair of UAPWC.
- b. CAR's specific responsibilities include:
- i. evaluating and making recommendations regarding upgrades to existing animal facilities, development of new facilities, and closure of facilities that do not meet CCAC guidelines;
  - ii. reviewing and approving all plans for new structures or renovations to existing facilities designed for animals, to ensure that CCAC guidelines for facilities are met or, when possible, exceeded;
  - iii. touring all University of Alberta animal facilities, at least every three years, to evaluate operations, maintenance and repair requirements;
  - iv. setting priorities/recommendations for any Facility Alteration Request (FAR) submitted by UAPWC;
  - v. providing a consultation service to faculty recruitment processes when animal use is anticipated;
  - vi. developing an integrated communication plan to address the needs of the research community and animal users, in particular to assist Facilities and Operations to provide timely and effective support for animal services units and PIs, in particular those operating alternate animal housing sites in the event of emergency, including power or HVAC failure, fire, flood, intrusion or criminal activities;
  - vii. identifying research trends involving animal use to facilitate long-term planning for facilities and infrastructure requirements.
- c. CAR shall meet at least quarterly, at the call of the Chair and as often as necessary to fulfil its responsibilities. Quorum will constitute 50% of the membership plus one. REO will serve as the secretariat for CAR.

## 3. ANIMAL CARE AND USE COMMITTEES (ACUCs)

### Responsibility

- a. Animal Care and Use Committees are established by and report to UAPWC. ACUCs are: ACUC – Biosciences, ACUC – Livestock, ACUC – Health Sciences 1 and ACUC – Health Sciences 2.

- b. Each ACUC is mandated to approve, reject, propose modifications to or terminate the approval of any proposed or ongoing animal use that is subject to review under this Policy. The Chairs of ACUCs bring forward to UAWPC issues arising from the reviews they oversee. Detailed information on the scope of each ACUC and its membership is described below and in the *Animal Care and Use Committee Structure, Application and Review Procedure* and in records maintained by REO.
- c. ACUCs will review and assess animal use protocols, according to the *Animal Care and Use Committee Structure, Application and Review Procedure*, the *CCAC policy statement on: ethics of animal investigation* and CCAC guidelines on animal use protocol review as well as any other relevant CCAC guidelines and policy statements.
- d. ACUCs will work with the staff of the animal services units to ensure compliance with its decisions and with the conditions set out in approved animal use protocols.
- e. ACUCs will conduct annual on-site reviews of all the animal care facilities and areas in which animals are used associated with the animal use protocols it reviews. ACUCs will develop alternatives to on-site reviews for research conducted in the field.
- f. ACUCs will receive and follow-up unanticipated adverse event reports as required.
- g. ACUCs will implement strategies and recommendations arising from post-approval monitoring activities as required.
- h. ACUCs will contribute to and participate in CCAC site visits and assessments and other such assessments as required.

#### Membership

A dynamic and collaborative peer review process is vital to the animal care and use program. Senior administrators at all levels of the institution should acknowledge, support and, wherever possible, recognize the work of current ACUC members and assist with identification and recruitment of new members. Facility veterinarians and staff who serve on ACUCs, like researchers who are also reviewers, must be able to provide support and advocacy for both scientific excellence and ethical and humane use of animals according to CCAC guidelines. ACUCs, the animal services units and the PIs share responsibility for the effectiveness of the university animal care and use program.

- i. The ACUC Chair will typically be selected from among the current scientific/faculty membership of ACUC and will be appointed by the Vice-President (Research).
- j. Normally, ACUC members will be appointed by REO for terms of no less than two years and no more than four years, renewable to a maximum of eight consecutive years of service. The voting membership will include:
  - i. faculty/scientific members experienced in animal care and use and representative of the animal use commonly reviewed by ACUC;
  - ii. a veterinarian experienced in experimental animal care and use;
  - iii. the Director of the animal services unit, who may also be a veterinarian, most closely aligned with the majority of the animal use reviewed by the ACUC;
  - iv. an institutional member whose normal activities, past or present, do not depend on or involve animal use for research, teaching or testing;
  - v. at least one and preferably two or more person(s) representing community interests and concerns, who has (have) had no affiliation with the institution, who has (have) not been significantly involved in animal use for research, teaching or testing;
  - vi. technical staff representation (either an animal facility or an animal research technician);
  - vii. graduate student representation;
  - viii. the Chair of UAPWC or designate, and
  - ix. the Animal Care and Use Consultant.

The ACUC Specialist, although not a voting member of ACUC, will provide advice and recommendations to ACUC on animal use protocols, CCAC requirements and ACUC processes.

**Meetings**

- k. ACUCs will typically meet once a month in person or as required at the call of the Chair.
- l. Decisions will, to the extent possible, be made by consensus. If consensus cannot be achieved, decisions must be supported by a simple majority of eligible voting members.
- m. Quorum will constitute the Chair, one veterinarian, one community member and at least two additional scientific members, one of whom must be a faculty member.
- n. ACUC members shall disclose any potential conflict of interest and recuse themselves from meetings or discussions about animal use protocols on which they are named.
- o. ACUC meetings and decisions will be documented in meeting minutes, correspondence and the on-line research ethics system. ACUC records and discussions are confidential unless otherwise indicated.
- p. REO will serve as the secretariat for ACUCs and will compile the annual animal use data form for CCAC.

**4. ANIMAL SERVICES UNITS**

In order for investigators and teachers to have animals that are healthy subjects for research, teaching or testing and for the University to meet its obligations to protect the health and welfare of the animals, there must be competent veterinary and animal care service providers whose numbers and expertise match the nature and scope of the institutional program.

- a. The animal services units provide animal care and services in support of approved animal use at the University of Alberta.
- b. The animal services units are responsible for ensuring that animal care is in compliance with CCAC guidelines.
- c. All University operated facilities or locations where animals are used or housed must be overseen by and accountable to one of the animal services units.
- d. The animal services units and their Directors and/or Directors of Animal Care report to the Deans of their respective Faculties for administrative matters and are accountable to the University Veterinarian as the designate of the Vice-President (Research) for their compliance with CCAC guidelines.

**DEFINITIONS**

Any definitions listed in the following table apply to this document only with no implied or intended institution-wide use.

<b>Animal</b>	Any living non-human vertebrate and any living invertebrate of the class of cephalopoda, including free-living and reproducing larval forms, used for research, teaching, or testing purposes by University staff or trainees.
<b>Animal Services Units</b>	Animal facilities established and operated by the University of Alberta as ongoing administrative units to provide veterinary and animal care staff, infrastructure, training, oversight and other resources to support the use of animals in research, teaching and testing by University staff and trainees. They currently are: Agricultural Food and Nutritional Sciences Animal Services (AFNSAS), Health Sciences Laboratory Animal Services (HSLAS) and Science Animal Support Services (SASS).
<b>Canadian Council on Animal Care (CCAC)</b>	The national organization responsible for setting and maintaining standards for the ethical use and care of animals used in science (research, teaching and testing) in Canada.
<b>Principal Investigator (PI)</b>	A member of the academic staff who is responsible for the design, conduct, supervision and oversight of the care and use of animals in research, teaching or testing as describe in an approved animal use protocol.

**FORMS**

No forms for this Procedure. [[▲Top](#)]

**RELATED LINKS**

Should a link fail, please contact [uappol@ualberta.ca](mailto:uappol@ualberta.ca). [[▲Top](#)]

[Agreement on the Administration of Agency Grants and Awards by Research Institutions](#) (Government of Canada)

[Animal Protection Act](#) (Government of Alberta)

[Animal Protection Regulation](#) (Government of Alberta)

[Canadian Council on Animal Care Guidelines](#) (CCAC)

[Recruitment Policy \(Appendix A\) Definition and Categories of Academic Staff, Postdoctoral Fellows, Academic Colleagues and Excluded Academic Staff](#) (UAPPOL)

[Recruitment Policy \(Appendix B\) Definition and Categories of Support Staff](#) (UAPPOL)

[University Animal Policy and Welfare Committee](#) (University of Alberta)