

## Appendix 2B



### ANIMAL CARE COMMITTEE (ACC) TERMS OF REFERENCE

(adapted from the CCAC *policy statement: Terms of Reference for Animal Care Committees, 2006*)

#### PREAMBLE:

1. The Canadian Council on Animal Care (“**CCAC**”) requires that institutions conducting animal-based research, teaching or testing establish an animal care committee (“**ACC**”), and that it be functionally active.
2. *For the purposes of this document, and the scope of the ACC, the term “animal” refers to a non-human vertebrate or cephalopod.*
3. Cape Breton University (“**CBU**”) is committed to the principle that the use of animals in research and teaching is acceptable only if it promises to further our knowledge of natural processes, diseases and conservation, or to the development of knowledge that can reasonably be expected to benefit humans or animals. Furthermore, all proposed animal use must first be examined with a view to replace, reduce and refine the use of animals whenever possible.
4. To ensure that this commitment is carried out, CBU has established an ACC to facilitate research and teaching practices that comply with the Canadian Council on Animal Care Guidelines and Policies (the “**CCAC guidelines**”).
5. Overall, the ACC is responsible for:
  - a. ensuring that animal care and use procedures at CBU comply with *CCAC guidelines*,
  - b. evaluating animal use protocols (AUPs) to determine their ethical acceptability, and
  - c. ensuring that due consideration is given to the ethics of animal experimentation by all those involved.
6. In order to support the ACC in its mandate, CBU is responsible for:
  - a. appointing an ACC coordinator and a consulting veterinarian,
  - b. providing training opportunities to ACC members to help them understand

their role and work, including a formal orientation session that introduces ACC members to CBU's animal care and use program, and *CCAC guidelines*,

- c. providing ongoing professional development opportunities for ACC members such as access to relevant journals and materials, meetings and workshops related to animal care and use, and
- d. ensuring that the ACC is well respected within the institution, and that all ACC members and the ACC Chair are valued and recognized.

## **TERMS OF REFERENCE**

### **SECTION I: Committee Membership and Procedures**

- 1.1. The ACC reports to the Vice-President Academic (Provost) and to Senate through the Research Committee of Senate.
- 1.2. With the exception of ex-officio members (see 1.3 e and f), the term of office for members of the ACC is two (2) years and appointments are renewable for up to eight (8) consecutive years of service.
- 1.3. The composition of the ACC membership must include:
  - a. at least two members with experience in animal care and use. Members must be full-time CBU employees (faculty and/or lab instructor);
  - b. one member whose normal activities does not depend on or involve animal use for research or teaching. Member must be a full-time CBU employee (either faculty or lab instructor)
  - c. one non-CBU member representing the community's interests and concerns;
  - d. one full-time CBU student member;
  - e. the consulting veterinarian (ex-officio member); and
  - f. the ACC coordinator (ex-officio member), who is normally a staff member of the Office of Research and Graduate Studies (ORGS).
- 1.4. The Chair of the ACC will be chosen from among the members (with the exception of the ex-officio members). If possible, the Chair should be an individual who is not directly involved in the preparation of a significant number of AUPs to be reviewed by the ACC. Provisions shall be made to co-opt other persons to the ACC as the need arises.

- 1.5. The ACC coordinator supports the ACC by coordinating meetings and activities of the ACC, and ensuring that committee agendas, minutes and reports are promptly produced and distributed to ACC members, that all exchanges between the ACC, the VP Academic (Provost), and animal users are documented and filed in a timely manner, and that animal users and the ACC members are provided with necessary information.
- 1.6. Animal use protocols (AUPs) will be distributed to all ACC members at least five (5) working days prior to the ACC meeting at which they will be discussed. All applications must be reviewed by the consulting veterinarian. After discussion of the protocol, the committee will decide, by consensus, whether to approve the protocol. If the committee decides to recommend revisions, or to request additional information, before a final decision is made, that will be communicated to the applicant in writing. If the changes or additional information requested are considered minor, the Chair of the ACC will be authorized to approve the protocol if the applicant agrees to the changes or provides satisfactory information, in writing. If more major revisions are required, the committee will decide, by consensus, either through a face-to-face meeting or through online communication, whether the revised protocol will be approved. If the AUP is not approved, either the applicant or the ACC may request a meeting between them for discussion. The ACC and the applicant should try to find a satisfactory resolution that both meets animal care guidelines and allows the research to proceed in a timely manner; the timeline shall be agreed upon by the committee and the researcher.
- 1.7. In the event that a resolution has not been reached through discussion, as outlined above, the researcher can refer the matter to the Research Appeals Committee for opinion and resolution. The Research Appeals Committee will review documentation provided by the CBU ACC and the applicant and will consult with others as required, including but not limited to members of the CBU ACC, the researcher and the CCAC. Subsequently, the Research Appeals Committee will issue a decision on the matter in writing with copies to the applicant and the CBU ACC. This decision will be final.

## **SECTION II. Authority**

- 2.1. The ACC has the authority, on behalf of the Vice-President Academic and (Provost), to:
  - a. stop any objectionable procedure if it considers that unnecessary distress or pain is being experienced by an animal,
  - b. stop immediately any use of animals which deviates from the approved use, any non-approved procedure, or any procedure causing unforeseen pain or distress to animals, and
  - c. have an animal killed humanely if pain or distress to the animal is not part of the approved protocol and cannot be alleviated.

- 2.2. The Chair of the ACC and the consulting veterinarian must have access at all times to all areas where animals are or may be held or used.
- 2.3. The ACC will conduct annual Post Approval Monitoring (PAM) visits to animal use areas listed in approved AUPs following the guidelines described in the CBU ACC Standard Operating Procedure (SOP) on PAM.
- 2.4 The consulting veterinarian has the authority to treat, remove from a study or euthanize (if necessary) an animal according to the veterinarian's professional judgement.

### **Section III. Responsibility**

3.1. It is the responsibility of the ACC to:

- a) Ensure that no research project or teaching program (including field studies) involving animals be commenced without prior ACC approval of a written *animal use protocol* ("AUP"); further to this, that no animals be acquired or used before such approval. This includes internally-funded projects.
- b) Ensure that no animals be held for display or breeding purposes, or for eventual use in research or teaching projects, without prior ACC approval of a written AUP.
- c) Require all animal users to complete an AUP form and ensure that the information therein includes the following points, clearly presented in a form that all members of the ACC can readily understand (supplemental information can be found in the *CCAC guidelines on: animal use protocol review (1997)*:
  - i. project title and descriptive keywords or brief protocol description, as defined in the *CCAC Animal Use Data Form*;
  - ii. principal investigators/teachers, and all personnel (post-doctoral fellows, research staff, graduate and undergraduate students) who will handle animals, along with their training and qualifications with respect to animal handling (see point m(iii) below); in the case of undergraduate students, who may have very little training, close supervision is required;
  - i. departmental affiliation;
  - ii. proposed start date, proposed end date;
  - iii. for research projects, funding source(s) and status of funding approval;

- iv. for research projects, an indication of whether the project has received peer review for scientific merit;
- v. for teaching programs, a course number and an indication of assessment of the pedagogical merit of using live animals;
- vi. lay summary;
- vii. an indication of the use of biohazardous, infectious, biological, or chemical or radioactive agents in living animals; and, if so, an indication of institutional approval of this use;
- viii. category(ies) of invasiveness as defined in the CCAC policy statement on: categories of invasiveness in animal experiments (1991), and Purpose of Animal Use (PAU) as defined in the CCAC Animal Use Data Form;
- ix. an indication of whether the study is acute or chronic;
- x. species and numbers of animals to be used and justification thereof;
- xi. a description of possible replacement, refinement and reduction alternatives, and justification if these are not to be employed, or a description of the applicant's efforts to find such alternatives;
- xii. anesthesia and analgesia, including dosages and methods of use; justification for not using anesthesia or analgesia, if relevant;
- xiii. a description detailing the procedures that are carried out on the animals (referring to appropriate Standard Operating Procedures (SOPs) as much as possible);
- xiv. a description of the endpoint(s) of the experimentation, selected according to the CCAC guidelines on: choosing an appropriate endpoint in experiments using animals for research, teaching and testing (1998);
- xv. a description of capture, restraint, transportation and/or housing of animals used in field studies, as well as any other information pertinent to field studies, such as capture of non-target species and potential injuries or mortality during capture or transportation, if relevant;
- xvi. the method of euthanasia, if used; justification for any physical euthanasia methods, or

for any methods that deviate from those described in the CCAC guidelines on: euthanasia of animals used in science (2010);

- xvii. a description of how the animals will be disposed of if they are not to be euthanized;
  - xviii. any other information considered important or necessary and pertinent, including information or results derived from any relevant previous protocol
- d) Ensure that, for research projects, a peer review of scientific merit is carried out; if the review is not carried out by an external, peer review agency, the ACC should require that it be obtained according to the *CCAC policy statement on: scientific merit and ethical review of animal-based research (2013)*. The institution should work with the ACC to ensure that an appropriate mechanism for the peer review of scientific merit is in place.
  - e) Ensure that all animal-based teaching and training activities that require an animal protocol undergo a pedagogical merit review involving two reviewers (who must not sit on the Animal Care Committee nor be involved with the course) that cover the required expertise in 1) pedagogy and 2) animal replacement alternatives. The *ad hoc* reviewers may be internal or external, as long as the required expertise are both met. The pedagogical merit review form requires the completion of an Animal Use Pedagogical Merit Review (AUPMR) Form. This form, along with the AUP, will be shared with the Chair of the appropriate department as an informational item. The AUPMR and the Pedagogical Merit Reviewer's Form will be given to the reviewers for their evaluation of the proposal. The pedagogical merit review of animal-based teaching and training should be undertaken for every new teaching or training course, and reviewed at least every four years for ongoing teaching or training, even if there are no changes to the course.
  - f) Review and assess all AUPs, with particular emphasis on the *CCAC policy statement on: ethics of animal investigation (1989)* and the *CCAC guidelines on: animal use protocol review (1997)* as well as on all relevant *CCAC guidelines* and policy statements and, where necessary, require further supportive information from the investigator/teacher or meet with the investigator/teacher to ensure that all ACC members understand the procedures to be used on the animal. The committee must also ensure that all procedures comply with *CCAC guidelines*, and, if at variance with those guidelines, require justification for the variance on scientific grounds. ACCs should both discuss protocols and make decisions on them during full committee meetings, rather than through individual reviews, and should attempt to reach decisions by consensus. An ACC may delegate the responsibility of interim approvals to a protocol review subcommittee, which must include at least one scientific member, the consulting veterinarian and one community representative. However, such interim approvals will be subject to discussion and final approval at a full meeting of the committee.
  - g) Ensure that animal users submit any animal use and care modifications they intend to

make, and approve any modifications to a protocol before they are implemented. Minor modifications (such as changes of up to 2 animal users, and addition of less than 20% of animals from the original request) should be submitted using the 'Request for Amendment' form to the ACC committee for approval. For any major changes to a protocol (such as addition of more than 20% of animals relative to the number originally approved, change of species, change in category of invasiveness), a new AUP submission is required.

- h) Review all protocols annually, i.e., within a year of commencement of the project, and approve any modifications to a protocol before they are implemented; annual renewals should be approved by at least one of the CBU animal user members, the veterinarian and one of the non-CBU community representatives. Require the submission of a new protocol after three consecutive renewals.
- i) Document ACC discussions and decisions in the committee minutes and on attachments to the protocol forms.
- j) Facilitate the appeal process by forwarding relevant documentation to the Research Appeals Committee in cases where an AUP is not approved by the ACC and the decision is appealed by the AUP's author. The CCAC may be called upon for information purposes; however, appeals cannot be directed to the CCAC. This provision supersedes all previous CCAC policies on appeals.
- k) Ensure that all ACC members and animal users have the opportunity to become familiar with the *CCAC Guide* and *CCAC policy statement on: ethics of animal investigation (1989)* and all other *CCAC guidelines* and policy statements, federal, provincial or municipal statutes that may apply, as well as institutional requirements.
- l) Ensure appropriate care of animals in all stages of their life and in all experimental situations. Veterinary care must be available. Formal arrangements should be made to obtain the services of a veterinarian, at least on a consultative basis, if they are not readily available within the institution.
- m) Establish procedures, commensurate with current veterinary standards, to ensure that:
  - i. unnecessary pain or distress is avoided;
  - ii. anesthesia and analgesia are properly and effectively used; the only exception to this may be when agents must be withheld as a scientifically-justified requirement of the study, and that this has been approved by the ACC. Painful studies requiring exemption from the use of either anesthetics or analgesia must be subject to particular scrutiny, not only prior to approval, but also during the experiment;
  - iii. appropriate post-operative care is provided;

- iv. all due consideration is given to animal welfare, including environmental enrichment.
- n) Ensure that policies to provide for a system of animal care that will meet the needs of the institution are established and implemented, and include:
  - i. the requirement that all animal care and animal experimentation are conducted according to *CCAC guidelines and policies*, and to any federal, provincial and institutional regulations that may be in effect;
  - ii. ensuring adequate animal care and management of the animal use areas, in particular by verifying that there is a person clearly designated to be in charge of animal care and management of the animal use areas;
  - iii. the training and qualifications of animal users and animal care personnel; the consulting veterinarian must receive continuing education in their field; animal users should receive appropriate training according to the *CCAC guidelines on: training of personnel working with animals in science (2015)*, either within the institution or through the programs of other institutions;
  - iv. the occupational health and safety program for those involved in animal care and use;
  - v. standards of husbandry and equipment;
  - vi. standard operating procedures for all activities and procedures that involve animals;
  - vii. procedures for euthanasia.
- o) Encourage the use of pilot studies with few animals when new approaches, methods or products are being tried, before approving new, large scale protocols.
- p) In the case of projects involving proprietary or patentable research insist on close monitoring of animals in order to respect the elements outlined in 3.1 (l).

#### **Section IV. Meetings**

- 4.1. The ACC should meet generally four (4) times per year (minimum twice per year) and as often as necessary to fulfill its responsibilities.
- 4.2. Before each meeting, minutes detailing ACC discussions and decisions from the previous meeting and agendas must be circulated via email to all ACC members in a timely fashion.
- 4.3. Quorum for ACC meetings consists of the majority of the members, and is also determined by the attendance of the consulting veterinarian and at least one community representative member.

- 4.4. Meetings are scheduled at times that are convenient for all members.
- 4.5. The ACC may perform Interim Approvals of AUPs via electronic polls or email voting of the majority of its members, with the understanding that such AUPs Interim Approvals are temporary and need to receive Final Approval *by consensus* at a subsequently scheduled ACC meeting.
- 4.6. Members of the ACC should visit animal use areas at least once a year as part of the ACC PAM process (see 2.3 for more details).

## Section V. General

It is the responsibility of the ACC to:

- 5.1. Review at least every three (3) years:
  - a. its Terms of Reference (TOR) to meet the *CCAC policy statement on: Terms of Reference for Animal Care Committees (2006)* and changing needs within the institution, the scientific community, the animal welfare community and society as a whole;
  - b. the security of the animals and the animal use areas within the institution;
  - c. SOPs and institutional animal care and use policies; SOPs should be accessible to all ACC members, and the full ACC should review all SOPs that involve procedures that may result in deleterious effects to animal health or welfare; and
  - d. policies and procedures for monitoring animal care and experimental procedures within the institution, including the identification of the persons responsible for monitoring animal health and welfare, and the procedures carried out by the ACC to conduct PAM;
- 5.2. Maintain liaison with the CCAC Secretariat, and inform the Secretariat of any changes to their program;
- 5.3. Submit complete and accurate animal use information in the *CCAC Animal Use Data Form (AUDF)* format for all AUPs annually (animal use information for each calendar year must be submitted by **March 31** of the following year) and also in pre-assessment documentation;
- 5.4. Promote and follow any institutional crisis management plan(s) as they pertain to the care and use of animals for institutional research, testing and teaching;
- 5.5. Sponsor, from time to time, seminars or workshops on the use of animals in science and the ethics of animal experimentation, and encourage as many animal users, students, ACC members and other interested parties to attend as possible;

- 5.6. Try to achieve and maintain a high profile within CBU and in the community in order to demonstrate CBU's efforts in promoting animal welfare and to allay some of the public concerns regarding animal experimentation; and
- 5.7. Be open to developing and maintaining communication with animal welfare organizations.

## **6. Collaborative Studies**

The CBU ACC, under the *CCAC Animal-Based Projects Involving Two or More Institutions*, is responsible for overseeing the work carried out by all members of the institution who use animals for research, teaching or testing either on site at CBU or at another location and must follow the following procedure.

### **Host institution:**

Any other institution (e.g. not-for-profit, government, industrial partner, university, etc.) that is not the member's affiliated institution.

### **Home institution:**

The institution the member is affiliated with formally.

### **6. 1 Animal-Based Work in Host Institutions**

- a) The member of an institution who wishes to carry out animal-based work within a host institution's facilities must first submit a written animal use protocol describing the project to the ACC of their home institution. CBU ACC will accept another institution's animal use protocol use forms provided the institution is CCAC-certified and has received a current Certificate of Good Animal Practice. Proof of this Certification is required.
- b) The CBU ACC must review the project to ensure that it meets the committee's normal standards and does not contravene any institution policies on animal care or use.
- c) The home institution's ACC can then approve the protocol in principle, conditional to the approval of the protocol by the host institutions' ACC.
- d) The host institution's ACC, having received the approval in principle of the protocol from the home institution's ACC, can then review the protocol focusing primarily on whether the animals can be housed, cared for and used appropriately according to CCAC guidelines and policies, given the host institution's facilitates and resources.
- e) The host institution's ACC must approve the protocol before the protocol can begin, and normally before animals are acquired. It must also take responsibility, with the collaboration of the animal care and veterinary staff of the host institution, for oversight of the protocol and of the welfare of the animals to be used. The host institution's ACC must inform the home institution's ACC of its decision and of any

relevant conditions or details accompanying the decision.

- f) When required, the Chairs of both ACCs should communicate directly if there are any questions that either committee have.

## **6. 2 Animal-Based Projects Undertaken in two or more institutions**

Investigators from two or more institutions may choose to undertake a collaborative project in which the animal-based work is to be divided between the animal facilities of the various institutions.

- a) For these projects, the ACC of each institution involved must receive a written animal use protocol detailing the animal-based work to be undertaken within the facilities for which it is responsible.
- b) This protocol must also provide a brief description of the project as a whole. 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, etc.) must be understood and accepted by the ACCs of each of the institutions involved.
- c) Clear and direct communication between ACCs is strongly recommended to facilitate the process and to ensure that CCAC guidelines and policies are applied, and animal care and use is appropriately overseen throughout all phases of a collaborative project.
- d) The ACC of the home institution of the principal investigator should normally take the lead in providing an ethical review of the most comprehensive protocol, and should coordinate and address questions and comments from the other ACCs involved.

## **6.3 Field studies**

- a) When multiple research partners are involved in a project, the ACC of the principal investigator should normally take the lead in providing an ethical review of the protocol. Co-operating investigators should be responsible for provision of the reviewed protocol to their home institution, indicating that approval has already been given by the lead ACC. Any questions concerning the reviewed procedures from the home ACCs of the co-operators should be directed to the lead ACC for resolution.
- b) 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.
- c) Where more than one ACC is involved in the review of a protocol (e.g., when research is conducted outside of the jurisdiction of the home institution), a well defined arrangement between the ACC of the home institution and the host organization, for monitoring the proposed project and the welfare of the animals, should be agreed upon before the project begins. ACCs need to be aware of the protocols and progress of projects which are being carried out locally. The local ACC is often the point of contact for the public and should be able to answer questions concerning wildlife studies in their area.