

BROCK UNIVERSITY ANIMAL CARE TERMS OF REFERENCE

Research and teaching activities involving animals are critical to the mission of Brock University. The moral commitment of the University to the appropriate care of, and respect for, the animals involved is central to these Terms of Reference (TOR).

External sponsors of research require an institutional review of research involving animals as a condition of the award of research funding. As an Ontario university, Brock is subject to the Animals for Research Act (Ontario) (R.S.O. 1990, CHAPTER A.22), as amended, and its regulations. Moreover, as a recipient of research funding from recognized granting councils, Brock "must adhere to the policies and guidelines of the Canadian Council on Animal Care" (CCAC). Formal responsibility for ensuring the humane care and use of animals at the University is delegated to an Animal Care Committee (ACC) which oversees all activities involving animals and reports to the Vice-President, Research. The Vice-President, Research may direct an Associate Vice-President, Research to act on his/her behalf as official designate.

This policy covers all species of animals as defined by the CCAC guidelines, as amended from time to time, and the Animals for Research Act (Ontario), as amended from time to time. The definition of "animal", for the purposes of these TOR, normally means a live, non-human vertebrate.

These TOR are intended for application within the context of academic freedom which is the 'right to examine, question, teach and learn without deference to prescribed doctrine or authority' (Brock University-Brock University Faculty Association Collective Agreement, Article 11). Nothing in this policy or its procedures replaces or diminishes this fundamental principle. At the same time, the academic, scientific and moral reputation of the University depends on the practice of academic freedom within defined ethical limits. These TOR identify such constraints in relation to the care and use of animals in University teaching and research programs.

Brock University adheres to the CCAC tenet that "The use of animals in research and teaching is acceptable only if it promises to contribute to understanding of fundamental principles, or to the development of knowledge that can reasonably be expected to benefit humans or animals. Animals should be used only if the researcher or instructor's best efforts to find an alternative have failed. A continued sharing of knowledge, review of the literature, and adherence to the Russell-Burch "3R" tenets of "Replacement, Reduction and Refinement" are also requisites. Those using animals should employ the most humane methods on the minimum number of appropriate animals necessary to obtain valid information."

1. AUTHORITY AND RESPONSIBILITY OF THE ANIMAL CARE COMMITTEE

The Animal Care Committee has the responsibility to ensure that the use of animals in teaching and research at Brock University is conducted in accordance with best of class practices in Canada and internationally, at minimum the policies and guidelines of the Canadian Council on Animal Care as amended from time to time, and Brock University policies and procedures. Moreover, the ACC is responsible for ensuring compliance with federal and provincial legislation, including but not limited to the Animals for Research Act (Ontario).

BROCK UNIVERSITY ANIMAL CARE TERMS OF REFERENCE

Specifically, the ACC shall have the responsibility and authority, on behalf of the Vice-President, Research, to:

- Ensure that no research or teaching involving animals commences without ACC review and approval and that no animals are procured or used prior to such approval.
- Ensure that no animals are held for display or breeding purposes or eventual use in research or teaching without the prior approval by the ACC of a written Animal Use Protocol.
- Ensure that any animal on Brock property for any purpose (i.e. commercial, recreational, display) is there with the knowledge of the ACC, and considerations for liability, safety of the animals and humans, and ethics are documented and in compliance with applicable Brock University policies, guidelines and procedures. Exceptions to this provision exist for service dogs as per applicable legislation.
- Require all animal users to complete an **Animal Use Protocol** form, ensure that such protocols adhere to the ACC's Standard Operating Procedures (SOPs) and CCAC "Guidelines on Animal Use Protocol Review" and include at minimum:
 - Project title and descriptive key words or brief description of procedures to be conducted on the animals as defined in the CCAC Animal Use Data Form,
 - Indication of the purpose for which the animals are to be used – research or teaching, by utilization of either the Research or Teaching form,
 - Names of Principal Investigator(s)/Instructor(s) and all personnel who will handle animals; along with their qualifications and training with respect to animal handling,
 - Departmental affiliation,
 - Proposed start date and end date,
 - Funding source(s) and status of funding approval,
 - Peer review for scientific merit,
 - Course number and indication whether the course has been reviewed with respect to the pedagogical merit of using live animals,
 - Project summary in layperson's terms,
 - An indication of the use of any biohazards, infectious, biological, chemical or radioactive agents in animal based projects and, if so, an indication of institutional approval of this use (approval number and date of approval),
 - Category of invasiveness,
 - Evidence of consideration of the Three Rs (Replacement, Reduction and Refinement) of animal use, including the justification of the species and the number of animals to be used, and the justification of any limitations in the refinement or enrichment methods normally used,
 - Description detailing procedures that are carried out on animals,
 - Description of the endpoints of the experimentation, and the person(s) responsible for monitoring the animals and applying the endpoints,
 - Description of capture, restraint, transportation and/or housing of animals used in field studies and safeguards to protect non-target species (Appendix 1 of AUP form and CCAC guidelines on "The care and use of wildlife 2003"),
 - The method of euthanasia as per CCAC guidelines, and justification for any physical euthanasia methods or any methods that deviate from those described in the most recent CCAC guidance on euthanasia,
 - Description of the fate of the animals if they are not euthanized,
 - Disposition of carcasses after euthanasia,

BROCK UNIVERSITY ANIMAL CARE TERMS OF REFERENCE

- For teaching protocols, the ratio of students to animal, and the ratio of students to instructor, and
 - Other relevant information.
- Ensure that each research project has been found to have scientific merit through independent peer review and ACC evaluation before approving the project.
- Ensure that evaluation of the pedagogical merit of animal use in a teaching protocol determines that the use of live animals is necessary for the students' ability to better understand the concept being taught.
- Review and assess all protocols for the use of animals in teaching, research and testing;
 - using the process described in *SOP AUP01- Mechanisms for screening research or teaching involving animals*,
 - at Brock University facilities, at other organizations or in the field, where the individual is acting in any capacity as a Brock affiliate, and
 - submitted by:
 - Brock University faculty members,
 - limited term appointments,
 - visiting researchers,
 - instructors, and
 - staff.
- Approve, not approve or require changes to such protocols using consensus of entire ACC or interim committee, and during face to face meetings or electronically as applicable.
- Have an option to delegate the responsibility of interim approvals, to be used infrequently, to a subcommittee, which must include at least one scientific member, one clinical veterinarian and one community representative, one of whom should preferably be the Chair of the ACC. All final protocol approvals must be verified during a full meeting of the committee, to ensure that all committee members have the opportunity to discuss and further refine protocols as a group.
- Ensure animal users update their protocols with any modifications they intend to make and approve any modifications to a protocol before they are implemented through an amendment process;
 - For minor modifications, the Chair of the ACC, in consultation with a clinical veterinarian may grant approval,
 - For major modifications, approval must be granted through a new protocol approval process,
 - Notations on what constitutes minor modifications eligible for the amendment process are referenced in *SOP AUP05 – On submitting an amendment to an approved AUP*.
- Develop and manage procedures for the review of all protocols annually (within 12 months of the commencement of the project).
- Develop and manage procedures for Post-Approval Monitoring (PAM) of the use of animals in teaching, research and testing conducted under the auspices of Brock University. PAM procedures are described in *SOP COMP01 – Post Approval Monitoring Program*.
- Visit all areas where animals are housed and used annually, such that each ACC member participates in at least one site visit annually and all sites are visited at least once annually. Site visits are documented by written and followed up by the ACC and the senior administration.
- Document all ACC discussions and decisions in ACC Minutes and record approval of the Minutes through consensus by members at a subsequent meeting.
- Document all notes and attachments to the protocol forms.

BROCK UNIVERSITY ANIMAL CARE TERMS OF REFERENCE

- Forward copy of all approved ACC minutes, site visits and actions to the Vice-President, Research and Associate Vice-President, Research.
- Submit policies for operation of the ACC and review of protocols to the Vice-President, Research and Associate Vice-President, Research for oversight.
- Ensure all animal users are sufficiently trained and competent in the procedures of their respective protocols as those protocols are reviewed. (The development and implementation of an education and training program for animal users which ensures animal users have the opportunity to become familiar with the CCAC policy statement on ethics of animal investigation and other CCAC guidelines and policy statements, federal, provincial and other statutes that may apply, and institutional requirements – is the responsibility of Brock University and not the ACC)
- Develop and approve Standard Operating Procedures (SOPs) for the care and use of animals in teaching, research and testing under the auspices of Brock University. Additional SOPs are required for Health and Safety as they relate to the facilities where animals are housed and used, operation of the Animal Care Committee and the actions it oversees. All SOPs are to be reviewed at least every three years.
- Perform a complete review of animal care related policies, Animal Use Protocol forms and the Terms of Reference each three years, with any necessary changes reviewed and approved by the ACC in the interim.
- Develop and approve procedures for determining and working to correct breaches of compliance with animal care and use policies and procedures. (see Compliance section of the SOP inventory)
- Stop any objectionable procedure if made aware that unnecessary distress or pain is being experienced by an animal and/or have an animal euthanized humanely if pain or distress caused to the animal is not part of the approved protocol and cannot be alleviated.
- Stop immediately any use of animals that deviates from the approved use, any non-approved procedure, or any procedures causing any unforeseen animal distress or pain.
- Ensure appropriate care of animals in all stages of their life and in all experimental situations.
- Establish procedures, commensurate with current veterinary standards such as Canadian Association for Laboratory Animal Medicine (CALAM) Standards of Veterinary Care to ensure that:
 - unnecessary pain or distress is avoided,
 - animal stress and injuries are avoided,
 - anesthesia and analgesia are used effectively,
 - appropriate post-operative care is provided,
 - due consideration is given to animal welfare, including environmental enrichment.
- Ensure that guidelines provide for a system of animal care that will meet the needs of Brock University.
- Encourage the use of pilot studies with few animals when new approaches or methods are being considered before approving the main body of the project. The results of all pilot studies must be reported to the ACC after conclusion of the pilot study.
- Support collaborative projects with other institutions. The ACC requires a copy of the approved Animal Use Protocol from the collaborating institution(s).
- Prohibit a project to proceed if the risks of proceeding are such that;
 - they place the Principal Investigator(s)/Instructor(s), students or others at unacceptable risks and/or an adequate risk management protocol has not been implemented,

BROCK UNIVERSITY ANIMAL CARE TERMS OF REFERENCE

- if the University is unable to provide adequate facilities to allow the project to proceed, or
- if the Principal Investigator(s) or Instructor(s) has not obtained the necessary approvals for the use of specific facilities, the use of radioactive, biohazardous or other materials, or to meet environmental legislation or regulations.

2. CHAIR OF THE ANIMAL CARE COMMITTEE

- The Chair of the ACC shall be appointed by the Vice-President, Research in consultation with the members of the ACC, and shall report to the Vice-President, Research and/or Association Vice-President, Research for all animal care and use matters.
- The Chair of the ACC shall be a tenured or tenure-track faculty member.
- The term of the Chair of the ACC shall normally be two years. This term may be renewed, up to a maximum of eight consecutive years, by the Vice-President, Research, in consultation with the incumbent and members of the ACC.
- In order to mitigate potential conflicts of interest, the Chair of the ACC should be at arm's length, as much as possible, from the Brock University research environment, and from the preparation of a significant number of protocols to be reviewed by the ACC.
- When the Chair submits a research protocol to the ACC, in order to avoid conflicts of interest, the Chair shall excuse her/himself during the consideration of the protocol by the ACC, at which point the Vice-Chair will conduct the meeting. If there is a question about the Vice-Chair's arms-length distance from the protocol under review, then the Vice-Chair shall excuse her/himself during the consideration of the protocol and the ACC shall appoint an *ad hoc* Chair from among its members to conduct the meeting while the protocol is being considered.

3. VICE-CHAIR OF THE ANIMAL CARE COMMITTEE

- The Vice-Chair of the ACC shall be appointed by the Vice-President, Research in consultation with the Chair and members of the ACC.
- The Vice-Chair of the ACC shall normally be a tenured or tenure-track faculty member.
- The term of the Vice-Chair of the ACC shall normally be two years. This term may be renewed by the Vice-President, Research, in consultation with the incumbent and the members of the ACC.
- The Vice-Chair shall be responsible for the roles and responsibilities of the Chair in the Chair's absence.

4. ANIMAL CARE COMMITTEE COORDINATOR

The Animal Care Committee Coordinator;

- is a salaried position which provides support to the ACC,
- is an ex-officio member of the Animal Care Committee,
- is responsible for effective operation of the ACC through arrangement of meetings and site visits through;
 - production and distribution of minutes and reports,
 - circulation of protocols and necessary information to members,
 - management, documentation and filing of all exchanges between the ACC and Principal Investigators and thus facilitating review and modification of AUP related submissions,
 - managing official documentation with the ACC Chair for approval of protocols,
 - aid in recruiting of members for the committee, and
 - arrangement of honorarium for community representatives.

5. COMPOSITION OF ANIMAL CARE COMMITTEE

The ACC shall strive to be comprised of the following voting members;

- One faculty representative from each department, research centre or institute in which animals are used for teaching and research purposes,
- One faculty member from a department that does not utilize animals,
- Two community members appointed by the Vice-President, Research following consultation with the Chair of the ACC,
- One (or more) graduate student, appointed by the Vice-President, Research following consultation with the Chair of the ACC,
- One (or more) undergraduate student appointed by the, Vice-President Research following consultation with the Chair of the ACC,
- A representative of the Human Resources and Environment, Health and Safety department
- An Animal Care Facility staff member from each of the Comparative Biosciences Facilities and Aquaterrium,
- The Animal Care Services Coordinator/ACC Coordinator, (as one or two individuals) as an ex-officio member, and
- Veterinarian(s) appointed by the Vice-President Research.

From time to time, other individuals may be invited to participate in or make a presentation to the meetings of the ACC, including but not limited to Principal Investigators, a Human Resources representative, the Manager of Environment, Health and Safety, and/or a Biosafety Officer and/or Science Safety Officer, or special presenter.

6. QUORUM FOR ACC MEETINGS

Quorum for ACC meetings is a simple majority of membership (50% of its membership plus 1), and must include one veterinarian, one community member and one faculty member.

7. ACCESS TO FACILITIES

The ACC Chair, Animal Care Services Coordinator, Animal Care Technicians, and the Veterinarian(s) shall have unimpeded access to all facilities in which animals are housed or used for teaching and research.

8. AUTHORITY AND RESPONSIBILITY OF THE ACC CHAIR

- The Chair of the ACC may act on behalf of the ACC between meetings.
- The Chair shall report to the ACC on all actions taken by the Chair on behalf of the ACC between meetings.
- The Chair shall report annually to the Vice-President, Research and Associate Vice-President, Research as described in Section 14 below.

9. AUTHORITY AND RESPONSIBILITY OF ANIMAL CARE STAFF

- The ACC delegates to trained Animal Care staff responsibility for the day-to-day care and direct oversight of the use of animals in teaching and research at Brock University.
- Trained staff will have the authority to intervene where the welfare of animals is in question and to call in a clinical veterinarian to treat, remove from a study, or euthanize, if necessary, an animal which welfare is in question. In this event, the staff member will also attempt to contact the animal user (as per the AUP priority contact list) whose animal is in poor condition and the Chair of the ACC will be notified.

BROCK UNIVERSITY ANIMAL CARE TERMS OF REFERENCE

- If the staff member is unable to contact a veterinarian, the animal user or the Chair of the ACC, the ACC delegates to a trained staff member the authority to treat, remove from a study, or euthanize any animal, if necessary.

10. APPOINTMENT OF VETERINARIAN(s)

- The Veterinarian(s) is/are appointed by the Vice-President, Research and report to the Vice-President, Research and/or Associate Vice-President, Research.
- Veterinarians are ex-officio members of the ACC.
- At least one Veterinarian must be in attendance at each ACC meeting.
- The term of the Veterinarian is normally one year. This term may be renewed by mutual agreement between a delegate of the University and the Veterinarian.

11. AUTHORITY AND RESPONSIBILITY OF THE VETERINARIAN(s)

- The ACC delegates to the Veterinarian(s) the authority to treat, remove from a study, or euthanize, if necessary, an animal according to the veterinarian's professional judgment.
- The Veterinarian will attempt to contact the animal user whose animal is in poor condition before beginning any treatment that has not been previously agreed upon and will attempt to contact the Chair of the ACC if deemed necessary.
- The Veterinarian has the authority to proceed with any necessary emergency measures, whether or not the animal user and the Chair of the ACC are successfully contacted.
- The Veterinarian shall send a written report to the animal user and the Chair of the ACC following any such event.

12. TERM OF ANIMAL CARE COMMITTEE MEMBERS

With the exception of the student representatives (who are usually appointed for one year but may be renewed) and individuals appointed as ex-officio members (who may remain members indefinitely), members of the ACC shall be appointed for a term of no less than two years, renewable to a maximum of eight consecutive years.

13. ANIMAL CARE COMMITTEE MEETINGS

- The ACC shall meet at minimum three times per annum: once in the autumn term, once in the winter term and once in the spring/summer term.
- The Vice-President, Research or Associate Vice-President, Research may attend ACC meetings as a non-voting, ex-officio observer at the invitation of the ACC.

14. ANNUAL REPORTS

The ACC Chair shall report annually to the Vice-President, Research and the Associate Vice-President Research who shall report to the Senate Research and Scholarship Policy Committee and Senate on the operations of the ACC during the previous academic year.

15. ANIMAL CARE COMMITTEE APPEALS COMMITTEE

- Researchers who have received a negative decision from the ACC regarding the approval or renewal of a protocol or have been requested to make significant modifications to a protocol may appeal the decision to the Vice-President, Research. The Vice-President, Research shall direct the appeal to an *ad hoc* ACC Appeals Committee for review and decision – directly or through designation to the Associate Vice-President, Research.

BROCK UNIVERSITY ANIMAL CARE TERMS OF REFERENCE

- The ACC Appeals Committee is appointed by the Vice-President, Research or designate and is given the responsibility for adjudicating an appeal from the author of a research or teaching protocol where the use of animals is not approved by the ACC.
- The ACC Appeals Committee shall consist of five individuals, at least three of whom are knowledgeable of the CCAC guidelines and policy statements, federal and provincial legislation and regulations, and national and international best practices in the use of animals in research and teaching. Composition of the committee will include two faculty members from faculties that historically use animals for teaching or research, and one faculty member from a faculty that does not use animals. A veterinarian and a community representative who are not part of the active ACC complete the committee, with consideration given for inviting these individuals from another institution or former members of the Brock ACC.
- The ACC Appeals Committee shall be appointed on an *ad hoc* basis, and dissolved when there is no further action required.
- The ACC Appeals Committee will develop policies and procedures for the expeditious review of appeals from the author of a research or teaching protocol where the use of animals is not approved by the ACC and where normal efforts to come to an agreement between the author and the ACC have failed.
- The ACC Appeals Committee may render one of the following decisions;
 - upholding of the ACC decision,
 - overturning of the ACC decision, or
 - requiring the ACC to reconsider the protocol and/or the author to revise the protocol in accordance with ACC recommendations.
- The Vice-President, Research or designate shall communicate the decision of the ACC Appeals Committee to the appellant and the ACC Chair.
- The decision of the ACC Appeals Committee is final and there are no further appeals. The University shall not overturn a decision by the ACC Appeals Committee in which it does not approve the use of animals in a teaching or research activity.

16. CONFIDENTIALITY OF ANIMAL USE

- In keeping with the Animals for Research Act (Ontario) and the CCAC guidelines, information collected by the Brock University Animal Care Committee shall remain confidential, with the exception of regulatory reporting requirements including but not limited to the annual animal use data provided by Brock University to the Ontario Ministry of Agriculture, Food and Rural Affairs and the Canadian Council on Animal Care and which is compiled on a provincial or national basis without the names of the users.
- Agendas and Minutes of the ACC are public, with the exception of *in camera* discussions and actions which include the review of and actions on individual research protocols.