

Animal Care and Use Non-Compliance Procedure			
Parent Policy	Animal Ethics Policy		
Policy Sponsor	Provost and Vice President, Academic	Category	Academic
Policy Contact	Associate Vice President Research	Effective Date	May 22, 2019
Procedure Contact	Research Ethics Officer	Review Date	May 22, 2024

1. Purpose

Provide guidance on how to maintain compliance with approved animal use protocols.

Identify levels of non-compliance, remedial action, and consequences.

2. Scope

This procedure applies to all Athabasca University (University) researchers who use animals in research.

3. Definitions

Animal	Any living non-human vertebrate and any living invertebrate of the class Cephalopoda, including free-living and reproducing larval forms, used for research purposes by Athabasca University researchers.
Athabasca University Animal Care Committee (AUACC)	The Committee responsible for the ethics review and post-approval monitoring of all animal use by Athabasca University researchers.
Canadian Council on Animal Care (CCAC)	The national organization responsible for setting and maintaining standards for the ethical use and care of animals used in science.
Peer Review for Scientific Merit	The review of the research proposal by two or more researchers, who have the technical expertise to assess the science of the protocol and are at arm's length from the research team and the AUACC.

Principal Investigator (PI)	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 as described in an approved animal use protocol.
Researcher	Anyone who conducts research activities. Includes, but is not limited to, faculty, undergraduate and graduate students, post-doctoral fellows and other personnel involved directly or indirectly in research, including research assistants/associates, technical and support staff, adjunct professors, visiting professors, and institutional administrators.
Science Animal Support Services (SASS)	Animal facility, established and operated by partner institutions (i.e. University of Alberta) as an ongoing administrative unit 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 researchers.
University Animal Policy and Welfare Committee (UAPWC)	UAPWC is a standing committee of the Vice-President (Research) at the University of Alberta 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 of Alberta to ensure humane and ethical treatment of animals in compliance with University of Alberta and Canadian Council on Animal Care (CCAC) policies, guideline, standards and procedures.

4. Guiding Principles

Athabasca University has a Post-Approval Monitoring Procedures to ensure animal care and use in practice is consistent with approved animal use applications and best practices. Research processes are dynamic and animal use in research poses particular challenges. Concerns may arise for a number of reasons, including knowledge gaps, protocol drift, inadequate record-keeping, equipment failures, communication problems and human error and may be identified by a PI, research team member, veterinary or animal care staff, AUACC members and others. Many of these concerns can be resolved quickly and effectively through collaborative work by the animal support services staff and the research team and then reported to the AUACC via the Post-Approval Monitoring log in the University of Alberta online research ethics management system.

Athabasca University researchers are expected to conduct their research with animals only in accordance with an approved animal use protocol. The AUACC shall ensure that all animal use meets University policy, procedures, and the requirements of the Canadian Council on Animal Care (CCAC).

All amendments to an approved animal use protocol must be submitted to, and approved by, the AUACC prior to any changes being implemented.

Protocol non-compliance occurs when the animal use protocol approved by the AUACC is not followed. Examples of non-compliance include use of more animals than approved in the Animal Use Protocol (AUP) performing unapproved surgery or other procedures, using unapproved anesthetics, failure to provide analgesics as approved, administering unauthorized agents, or unauthorized persons participating in a research project. The University of Alberta Animal Policy and Welfare Committee (UAPWC) is the body responsible for determining and working to correct breaches of compliance with approved animal use protocols and Standard Operating Procedures (SOPs) that is being conducted in University of Alberta facilities or being monitored in the field by the UofA Veterinarian. When faced with protocol noncompliance, the first response should be to find a way to bring the protocol into compliance. In practice, UAPWC has delegated responsibility to the AUACC to make the initial assessment of non-compliance and to find ways to rectify the situation.

If allegations of noncompliance are verified, the AUACC can require corrections and impose specific conditions for continued animal use, as needed.

Athabasca University acknowledges that the University of Alberta has a comprehensive procedure for dealing with animal care and use non-compliance, and hereby adopts this procedure (appended) to manage all animal care and use that is undertaken by Athabasca University researchers in University of Alberta facilities or being monitored in the field by the UofA Veterinarian.

In the event that non-compliance with an approved AUP by an Athabasca University researcher is identified, the AUACC is authorized to address non-compliance in accordance with applicable policy and procedures.

The AUACC will notify the Research Ethics Officer and Associate Vice President Research at Athabasca University of the issue and any sanctions being considered/already taken. Such non-compliance may constitute a breach of Athabasca University's Research Integrity Policy and the Associate Vice President Research may initiate a complaint and address the matter under that policy and related procedure.

5. Applicable Legislation and Regulations

The care and use of animals in research is to be carried out in accordance with federal and provincial legislation and regulation, including the most recent versions of the following.

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

[Tri-Agency Agreement on the Administration of Agency Grants and Awards](#) (2012, December and as amended from time to time).

[Animal-Based Projects Involving Two or More Institutions \(CCAC\)](#)

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

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

[Agreement on Animal Research Ethics Review](#) between the Governors of the University of Alberta and the Governors of Athabasca University (2019, and as amended from time to time).

[Athabasca University Animal Ethics Policy](#)

[Athabasca University Research Integrity Policy](#)

[Athabasca University Breach of Research Integrity Procedures](#)

[University of Alberta Animal Ethics Policy](#)

6. Related Procedures/Documents

[Animal Care Committee Roles and Responsibilities Procedure](#)

[Animal Care and Use Appeal of an AUACC Decision Procedure](#)

[Animal Care and Use Post-Approval Monitoring Procedure](#)

[Animal Care and Use Standard Operating Procedure](#)

[Animal User Training Procedure](#)

History

<i>Date</i>	<i>Action</i>
May 22, 2019	Associated Policy Approved (General Faculties Council)