

Appendix 1**Standard Operating Procedure: YukonU ACC SOP 01**

January 2025

Collaborations among institutions can bring greater expertise and resources to support animal research and teaching objectives. However, such collaborations can result in uncertainty about which individuals and institutions are responsible for oversight of activities pertaining to the humane care and use of animals. Processes for inter-institutional projects are necessary to ensure that collaborations receive appropriate Animal Care Committee (ACC) review and have clearly defined roles for providing humane animal care and use with a clear communication process in place for compliance and reporting requirements.

1. Purpose

- 1.1. Yukon University (YukonU) Animal Care Committee (ACC) is responsible for overseeing the work carried out by all members of the institution including faculty, researchers, instructors, staff and students, whose activities involve the use of animals for research and teaching. This includes activities that are conducted at YukonU, are conducted by YukonU personnel on or off YukonU campuses and facilities and/or are funded by YukonU. These require prior approval of the YukonU Animal Care Committee (YukonU ACC) before any activity begins. This procedure describes the ACC oversight required when animal-based projects involve individuals from two or more institutions.

2. Scope

- 2.1. All YukonU faculty, staff, and students carrying out animal-based research or teaching with other institutions.
- 2.2. YukonU faculty, staff, and students undertaking animal-based research or teaching hosted at YukonU with collaborators from other institutions.

3. Definitions and Abbreviations

- ACC - Animal Care Committee
- CCAC – Canadian Council on Animal Care
- Home institution – the institution with which an individual is employed or affiliated.
- Host institution - an institution that an individual is temporarily affiliated for the purpose of a collaboration.
- PI – Principal Investigator
- YukonU – Yukon University
- AUP – Animal Use Protocol

4. Responsibility

- 4.1. The Principal Investigator (PI) is responsible for developing a project-appropriate AUP at their home institution.
- 4.2. The PI's home institution ACC ensures that CCAC and institutional policies, procedures, and guidelines are followed by reviewing the AUP and obtaining additional information if needed before the ACC grants approval for proposed animal use.

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- 4.3. All faculty, researchers, instructors, staff and students are required to ensure that any animal-based research and teaching they undertake at another institution receives that institution's ACC approval.
- 4.4. The veterinarians and animal facility staff are responsible for ensuring the health and welfare of the animals that are kept and studied inside their home facilities.
- 4.5. The ACC Post-Approval review of AUPs will be the responsibility of the host institution where the animals are located for research and/or teaching purposes.

5. ACC Review Process

Yukon University is responsible for the work done by all its employees and students who involve animals in research or teaching. There are many situations where YukonU personnel might be involved in collaborative animal-based activities and some of these possible inter-institutional relationships are described below. If a situation arises that is not covered by the scenarios below, it will be discussed with the ACC Coordinator and the Vice-Provost, Academic & Research to determine an appropriate review process in compliance with CCAC requirements.

5.1. *Principal Investigator (PI) is based at another institution and carrying out animal-based work at and/or with YukonU or funded through YukonU.*

- 5.1.1. The PI requires AUP approval from their home institution first.
- 5.1.2. The PI submits a copy of the completed AUP application and approval with a cover letter describing the request for YukonU ACC approval to the YukonU Animal Care Committee (ACC) Coordinator.
- 5.1.3. The AUP and cover letter are reviewed by the YukonU ACC, with additional information requested from the PI if required.
- 5.1.4. If satisfied, the YukonU ACC approves the protocol as the secondary institution.

5.2. *YukonU researcher is the PI for the research but will be using animals for research or teaching at another CCAC-accredited institution.*

- 5.2.1. The PI submits a complete AUP to the YukonU ACC.
- 5.2.2. The YukonU ACC reviews the AUP to ensure it adheres to YukonU policies and procedures on animal care. If satisfied, YukonU ACC approves the protocol in principle, conditional on the approval of the protocol by the other institution(s) where the research will be conducted.
- 5.2.3. The PI also submits forms for merit review (pedagogical or scientific, depending on nature of the activity) and approval. This could be done by the YukonU merit review committees or by the host institution committees and would be determined through discussions of ACC's from the institutions involved.
- 5.2.4. The PI submits their AUP application to the other institution(s) and provides a copy of the YukonU AUP application and conditional approval.
- 5.2.5. The other institution(s) or PI informs YukonU ACC of the decision, providing all documentation including any relevant conditions or details accompanying the decision.
- 5.2.6. Once approval from the other institution is provided, the YukonU ACC provides full approval if warranted.

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5.2.7. The YukonU ACC forms and Certificate of Approval will be provided to the other institution by the YukonU ACC Coordinator.

5.3. YukonU personnel conducting research at another CCAC-certified institution as a team member, with the PI for the project based at another Institution.

In this scenario, a protocol for the use of animals in research or teaching may have already received approval from another CCAC-accredited institution where the animals are being housed, or the research activities may be conducted at another institution or part of field research activities coordinated by the other institution.

5.3.1. Collaborations may require YukonU (Home Institution) personnel to travel to other institutions (Host Institution) to conduct research with grant/contract funds held at YukonU.

5.3.1.1. YukonU personnel ensure there is an ACC-approved AUP in place before conducting animal-based work at another institution.

5.3.1.2. Only one AUP is preferred and should be completed by the PI of the research or teaching activity.

5.3.1.3. Merit review should also be completed.

5.3.2. If all prospective live animal use will occur at another institution that holds a CCAC Good Animal Practice (GAP) Certificate, then the YukonU ACC does not require submission of an AUP to YukonU's ACC on a YukonU AUP form.

5.3.2.1. The YukonU researcher submits an AUP to the host institution for ACC review. Merit review should also be done.

5.3.2.2. Once approved by the host ACC, the YukonU researcher provides a copy of the AUP and Certificate of Approval to the YukonU ACC for review by the YukonU ACC subcommittee consisting of the Chair, Animal User member, Community member, and the Consulting Veterinarian.

5.3.2.3. The YukonU ACC Coordinator creates an AUP file based on the information from the host institution to provide to the YukonU ACC subcommittee.

5.3.2.4. The YukonU ACC subcommittee reviews the AUP to ensure it meets YukonU standards and does not contravene any institutional procedures or SOPs.

5.3.2.5. If satisfied, the YukonU ACC approves the AUP in principle, a "Letter of Approval" is issued to the PI and the other Institutions ACC.

5.3.2.6. The YukonU ACC Chair or their delegate will report and discuss the review and materials at the next full ACC meeting.

5.3.3. When all the collaborating institutions are CCAC GAP-certified, the Host should submit animal numbers to the CCAC for the yearly Animal Use Data Form (AUDF) report. If this is not possible, another collaborating institution will report the numbers. Animal reporting must be determined upfront before animal use occurring to ensure the animals are only reported to the CCAC once.

5.3.4. The YukonU researcher must ensure that any protocol changes or amendments or incidents are provided to the host institution ACC as well as to the YukonU ACC.

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- 5.4.1. If live animal use will occur at a non CCAC certified institution, but is overseen by an Institutional Animal Care Committee (IACUC) and is accredited by the Association for Assessment and Accreditation of Laboratory Animal Care International (AAALAC) and/or is covered by an Approved Animal Welfare Assurance from the Office of Laboratory Animal Welfare (OLAW), then use of the host's institution's AUP form is acceptable, and the YukonU ACC Subcommittee will review that AUP to ensure it meets the ACC standards and does not contravene any institutional procedures or SOP's. Additional submission on a YukonU AUP is not required. The PI will receive a letter of approval regarding the animal use and relay this to the other institution's ACC.
- 5.4.2. If live animal use will occur at a non CCAC-certified institution, but the ACC or IACUC is neither AAALAC accredited nor does it hold an OLAW Assurance, use of the host institution's AUP form is acceptable; however, submission of a YukonU AUP is also required. In addition to review and approval by the host institution's ACC, full YukonU ACC review and approval (of the host institution's AUP and YukonU AUP) is required before the proposed animal use may proceed. Review by the ACC ensures that the AUP meets the ethical expectations of the YukonU ACC and that the project has received scientific or pedagogical merit approval.
- 5.4.3. If the collaborating institution has no ACC or equivalent body, then YukonU personnel must submit a YukonU AUP to the ACC. The YukonU ACC has sole responsibility to review the AUP and should follow YukonU's SOP for conducting post-approval monitoring at the collaborating institution as best they can.
- 5.4.4. Wherever possible, YukonU personnel should avoid involvement in situations or collaborations where the animal use will occur in a facility where there is no ACC oversight.

5.5. Field Studies Involving More Than One Institution/Agency

- 5.5.1. The ACC of the PI will serve as the lead (Home Institution) in providing ethical review of the protocol.
- 5.5.2. Cooperating investigators on the project shall contact their institutional ACC to determine the process for their institution. The Home Institution will provide copies of their approval and the AUP that has been reviewed and any other supporting materials.
- 5.5.3. Any questions or concerns on the review should be directed to the Home Institution ACC. Home Institutions and other institutions involved 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 acceptable standards.
- 5.5.4. A well-defined arrangement between the ACCs of the institutions involved will be put in place for monitoring the proposed project and the welfare of the animals. This should be agreed upon before the project begins. The ACCs must be aware of the protocols and progress of projects which are being carried out locally.
- 5.5.5. The Institution in or nearest the location of the research is considered the local contact, should serve as the point of contact for the public, and should be able to answer questions concerning wildlife studies in their area.

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In all situations there will be clear and direct communication between the ACCs through the Animal Care Coordinators to facilitate the process and ensure that CCAC guidelines and policies are adhered to and that animal care is appropriately overseen appropriately throughout all phases of a collaborative project.

YukonU personnel must disclose to the ACC any animal-based research or teaching that is conducted outside of Yukon University.

The YukonU ACC shall be responsible for oversight of all animal-based projects undertaken by YukonU members or connected with YukonU, to ensure that all procedures are ethically acceptable and comply with all CCAC and legislative standards. Arrangements for monitoring the welfare of animals will be established between the Animal Care Committees of all institutions involved in the project before the project begins. A well-defined arrangement between the ACC's will be established for monitoring the project and for sharing all post-approval monitoring reports.

The YukonU employee or student must have the necessary training and be able to provide documentation of such training to the host and home institution. If some aspect of training is missing, this can be provided by the host institution.

6. References

CCAC Policy on Animal Based Projects Involving Two or More Institutions (2003)
Canadian Council on Animal Care.

https://ccac.ca/Documents/Standards/Policies/Projects_involving_two_or_more_institutions.pdf

CCAC Frequently Asked Questions on Animal Based Projects Involving Two or More Institutions (May 2020). Canadian Council on Animal Care. <https://ccac.ca/Documents/Standards/Policies/CCAC-FAQs-on-Animal-Based-Projects-Involving-Two-or-More-Institutions.pdf>

CCAC Guidelines on the Care and Use of Wildlife (2023). Canadian Council on Animal Care.
<https://ccac.ca/Documents/Standards/Guidelines/Wildlife.pdf>