Animal Use Protocol Post-Approval Monitoring

This document describes the Northwestern Polytechnic Post-Approval Monitoring (PAM) program.

Post-Approval Monitoring is required to provide assurance to the NWP ACC that all teaching and research involving animals are performed in accordance with the approved Animal Use Protocol and work collaboratively with animal users to correct any deficiencies.

Background

In accordance with the Canadian Council on Animal Care (CCAC) policy statement on *Terms of Reference for Animal Care Committee*s, institutions conducting animal based research, teaching or testing must establish procedures for post-approval monitoring in animal welfare protocols, and must be define the roles and responsibilities of the members if the animal care and use program in the monitoring process.
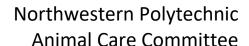
Responsibilities and Authorities

Senior Administration - Responsible for ensuring that animal care and research takes place in practice according to ACC decisions and CCAC standards.

Animal Care Committee – Implement and enforce policies to ensure compliance with any requirements necessary to maintain accreditation with the CCAC, including the authority to approve, monitor and intervene in any work with animals conducted under NWP ACC approved animal protocols. Responsible for determining and working to correct breaches of compliance with approved Animal Use Protocols (AUP) and Standard Operating Procedures (SOP).

Facility Managers - Supervise the daily operations of the animal facility, staff and students; manage the acquisition, care and welfare if the animals housed at the facility; provide technical services and training, monitor adherence to approved protocols, procedures and policies; and report non-compliance to the Animal Care Committee.

ACC/PAM Coordinator – Develop, review and implement the PAM program.

PAM Auditor(s) – Perform reviews of approved Animal Use Protocols, procedures and facilities to ensure that all procedures conducted on animals conform to the ACC approved version of the protocol, ACC and CCAC policies and guidelines, and report findings to the Animal Care Committee.

Please note: This form replaces *and* supersedes *any* previous Post Approval Monitoring Forms

Primary Instructor/Investigator – Ensures that all NWP personas working with animals are listed in, and knowledgeable about NWP ACC Terms of Reference, his/her approved animal protocol(s) and applicable standards operating procedures, that they have received the appropriate training, and that they will cooperate and comply with the PAM program.

ACC Veterinarian/Veterinarians – Provide clinical veterinary services and research support, and collaborate with the PAM auditor(s) to prevent and/or correct deficiencies.

All must work in a collegial and respectful manner to attempt to correct deficiencies collaboratively.

Selection of protocols for PAM

Post-Approval monitoring will be completed on a AUP once every 3 years with emphasis placed on the following criteria:

Any protocols with a Category of Invasiveness of D will be monitored annually and any with a Category of Invasiveness of E will be monitored biannually.

New protocols or protocols involving procedures, which are new to a particular laboratory exercise or study.

Animal Use Protocols that have had non-compliance or animal welfare issues.

Animal Use Protocols that the ACC or veterinarians identify for follow-up monitoring.

Protocols consisting of pilot studies.

Scheduling and Conducting PAMs

Scheduling

The Principal Instructor/Investigator on the select AUP will be notified by the Animal Care Coordinator, of a PAM visit and asked to provide upcoming date options for a scheduled PAM visit. ACC Coordinator will be responsible for scheduling the PAM visit with the Animal Use Protocol Principal Instructor/Investigator and the PAM auditor(s).

Conducting PAM visits

Please note: *This form* replaces *and* supersedes *any* previous Post Approval Monitoring Forms

PAM auditor(s) will review pertinent documentation (protocol, amendments, annual renewals, etc.) prior to conducting the PAM auditor(s).

On the agreed date and time for the PAM visit, the PAM auditor(s)will perform the PAM visit using the Post-Approval Monitoring Checklist as a guide for the assessment.

During the visit, the PAM auditor(s) will compare the procedures being performed with those that are documented in the ACC approved Animal Use Protocol.

The PAM checklist will be complete during each PAM visit.

Conclusion

At the conclusion of the site visit, the PAM assessment person(s) will discuss the finding with the Primary Instructor/Investigator and lab team to avoid misinterpretation and inaccuracies.

The ACC/PAM Coordinator will collect all PAM audit form(s) and will distribute the forms to the Chair .

Following an audit, a meeting between the Interim approval sub-committee, PAM auditor, ACC Chair and ACC Coordinator/PAM Coordinator will meet and complete the recommendation/commendation report. Corrective actions can include, but are not limited to, further education, submitting protocol amendments, or improving record keeping.

Recommendations identified during the PAM audits, are classified as the following:

No recommendations	No changes required to an excellent procedure.
Minor recommendation	Proposed changes that could improve an already acceptable procedure
Regular recommendation	Proposed changes in order to correct a minor problem.
Serious recommendation	Requires the adjustment of a procedure in order to meet the standards of the CCAC. The PAM team at the next

Revised Date: December 10th, 2018

	opportunity can carry out a verification if the changes made.
Major recommendation	Requires immediate chance to a procedure considered to be unacceptable to the wellbeing if the animal.

The ACC Chair will communicate the recommendations/commendations report to the Primary Instructor/Investigator in writing within 10 business days following PAM audit.

The post approval monitoring report will be shared with members of the ACC and all documentation associated with the PAM visit will be kept on file with the with ACC/PAM Coordinator.

ANIMAL USE PROTOCOL DISCREPENCIES/BREACHES OF COMPLIANCE

If there are any discrepancies in the procedures being carried out, the discrepancies will be discussed during the visit and the animal user(s) will be directed to make requested changes or if appropriate, submit a Major/Minor Animal Use Protocol request form to comply with CCAC and NWP regulations.

ACC per the *CCAC: Terms of Reference, March 2006,* The ACC has the authority to stop immediately any work with animals that deviates from the approved protocol, any non-approved procedure, or any procedure causing unforeseen pain or distress to animals. If at any time during the PAM visit the PAM auditor(s) observe serious ethical violations of the approved Animal Use Protocols or threat to the health and safety of personnel or animal users, violations will be documented and reported to the ACC Veterinarian immediately. In case of a conflict of interest involving the ACC Veterinarian, these violations will be directly reported to the ACC Chair. The primary instructor/investigator will be asked by the ACC Veterinarian/ACC Chair to provide an explanation of the apparent violation to avoid misinterpretations. If it is determined – that animals are in need of immediate care, a veterinarian will be called immediately to attend to the animal and the use of animals will be suspended until further investigation has been commenced. A written report should be sent by the veterinarian to the animal user and to the ACC following any such event

Revised Date: December 10th, 2018

The NWP ACC is the body responsible for determining and working to correct breaches of compliance. Further investigation should involve meetings with the relevant animal users to provide an explanation of the apparent violation(s). If the ACC is satisfied that the approved protocol for care and treatment of the animals is being followed, use of the animals may continue.

If it is determined that there is a persistent breach of compliance that cannot be corrected by the ACC working with the concerned animal users and veterinary/animal care staff must be referred to the senior administration which must inform all members of the animal care committee about sanctions that will be taken by the administration in the event of serious breaches of compliance.

Appeals

Primary Instructors/Investigators who do not agree with the ACC's recommendations may request in writing a meeting with the Chair of the ACC. The Chair may invite other committee members, as he/she deems appropriate.

Refer to Appeal Process of a protocol in NWP ACC Terms of Reference.

Please note: *This form* replaces *and* supersedes *any* previous Post Approval Monitoring Forms

Revised Date: December 10th, 2018