In accordance with the requirements of the Animals for Research Act of Ontario (1980) and the Guidelines of the Canadian Council on Animal Care (CCAC), the Vice-President Research, Innovation & International, has constituted the Animal Care Committee (ACC) to review all research, testing and teaching activities involving the use of animals or animal tissue. The attached AUP is intended to provide the ACC with information about activities in individual laboratories and classrooms which the ACC needs to meet its legal and ethical responsibilities.

**Steps to Follow**

1. Attain approval for biohazards, radiation, chemical hazards and/or safety issues by appropriate committees. It is the responsibility of the Principal Investigator to initiate approval of his or her project from each relevant committee before requesting AUP approval. Please contact the Research Ethics Coordinator if you require assistance.

2. Consult Veterinary Staff before preparing the AUP so that information on endpoint issues and other veterinary matters can be addressed prior to ACC consideration.

3. This form must be completed and signed electronically (or with scanned signature) and submitted to researchethics@uoit.ca. Please contact Research Ethics Coordinator if you have any questions or concerns. Please allow adequate time (at least 6-8 weeks) for this review process.

Janice Moseley, Research Ethics Coordinator: 905-721-8668 ext. 3693 or researchethics@uoit.ca

Please note that the consultant Veterinarian must be contacted prior to AUP submission (refer to Section 13).

After approval, any changes to an AUP (procedure, species, personnel, etc.) must be documented through submission of an Amendment Request Form and approved by the ACC before implementation.

Approved AUPs must be renewed annually up to a maximum of 3 consecutive times. Following this, a new AUP is required. Forms are available to request annual renewal of the AUP without revision or with minor revisions (Annual Renewal Request form) on the ORS website.
AUP Form - Complete Checklist

Start here...

1) Proposed **Start Date** of Research: 

2) Expected **End Date** of Research: 

3) Requested Date for Approval: 

Does this application replace an existing AUP?  
☐ Yes  
☐ No  

- List previous AUP number: ###-

---

Thingsto include...

### Supplementary Material  
*(check all that apply)*

- 1: Pedagogical Merit Review (Teaching only)
- 2: Competency Assessment (Amphibian or Fish Lab)
- 3: Daily Monitoring Form
- 4: Endpoint Monitoring Form
- 5: Wildlife Field Studies

---

### External Attachments  
*(include with your AUP submission to the Compliance Office)*

- Attachment 1: Course Syllabus (Teaching only)
- Attachment 2: Standard Operating Procedures (SOP’s)
- Attachment 3: Peer Review / Scientific Review (office use only)
**Section 1a: Principal Investigator / Course Instructor**

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**Section 1b: Emergency Contact(s)**

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**Section 1c: Co-Investigator(s) / Research Assistants**

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<td>Phone #:</td>
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<td>Role / Position / Affiliation</td>
<td>Phone #:</td>
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</tbody>
</table>
If you require additional space to list contacts (i.e. Co-Investigators, Research Assistants, Emergency Contacts) please download the ACC Additional Contacts Form from the ORS website, and attach to your AUP.

Section 2: Project Title / Project Type / Project Commencement

Descriptive Title (In lay terminology, please give a descriptive title of your research project or course taught):

Please specify what Type of AUP application (check all that apply):

- Research
- Pilot Study
- Breeding Protocol
- Teaching*

Other

* Complete and attach Teaching Pedagogical Merit Review form (Appendix 1)

Section 3: Funding

<table>
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<th>Source(s) / Agency(s)</th>
<th>Scientific Review</th>
<th>Funding Status</th>
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The Canadian Council on Animal Care (CCAC), which oversees animal use for research, teaching and testing, requires that all animal-based research projects receive scientific peer review from two independent experts prior to their approval, by UOIT's Animal Care Committee (ACC). At least one reviewer must be external to the institution.

Note:
If this project has not been successfully funded by a granting agency, then an external peer review is still required.
# Section 4: Researchers & Animal Care User - Qualifications / Training Schedule

Please include all persons listed in Section 1a/b of this AUP.

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<th>Full name</th>
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<th>AU Cer</th>
<th>Bio</th>
<th>Rad</th>
<th>WHMIS</th>
<th>Experience and Credentials ☐*</th>
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**Legend of Training**

- **ACReg** - Animal Care Regulatory - Every 5 years; the CCAC requires a refresher course be taken.
- **AUCer** - Animal Use Certification - Animal user certification course has been taken.
- **Bio** - Biohazard Safety Training - Training on proper procedures to follow in order to use Level C Biohazard rooms.
- **Rad** - Radiation Safety Training - Training on proper procedures to follow in order to use Radioactive materials.
- **WHMIS** - Workplace Hazardous Materials Information System - General training on cautionary labelling of containers of WHMIS “controlled products”, the provision of material safety data sheets (MSDSs) and worker education and training programs.

For inquiries relating to training, please contact the Research Ethics Coordinator researchethics@uoit.ca 905-721-8668 ext. 3693.
Section 5: Lay Description
This Abstract may be released to the Media. The ACC may need to release this abstract to the Public Relations office in order to provide information to the public about animal use at UOIT. Provide a typed abstract of **250 words or less in simple language (grade 7 reading level)**. Outline the objectives of the project, the experimental approach, and the significance of the expected results to human and/or animal health. Examples are provided on the second page of the Checklist.

Section 6 (a-f): Justification of Animal Use and the Three R's
The CCAC requires “that animals should be used only if the researcher’s best efforts to find an alternative have failed. A continuing sharing of knowledge, review of the literature and adherence to the Russell-Burch Three R’s Tenet of Replacement, Reduction and Refinement are also requisites”. Those studies using animals should employ the most humane methods on the most appropriate number of animals required to obtain valid information. The ACC is responsible for ensuring that these standards are upheld. The following set of questions was developed for this purpose. Refer to the "CCAC Three R's Microsite".

6a) Are alternative non-animal methods used by other investigators for the type of work proposed in this AUP (e.g., tissue cultures, *in vitro* monoclonal antibody, computer models, etc.)? If yes, describe why these alternatives are not appropriate for this project.
6b) Why must animals be used in these experiments *(check all that apply)*?

- This is a study of animal behaviour.
- The phenomena under study cannot be reproduced *in vitro*.
- This is a pre-clinical study of the *in vivo* effectiveness of a treatment or procedure.
- The generation of this reagent *in vitro* is inefficient, not possible or prohibitively expensive (provide evidence in space below).
- Other (elaborate in the space below).
- For teaching AUP's

Provide explanation based on selection(s) above:

6c) What characteristics of this/these species make them appropriate for the proposed study? These might include structural, behavioural, physiological, biochemical, or other features or considerations (such as availability of species-specific reagents, or the use of well-established model) which make the model compatible with the research objectives. Cost is not a primary consideration.
6d) The project to be conducted under this AUP:

- [ ] Is already planned in detail, and the precise number of animals required is known. In the space below, indicate the animal numbers to be used in each group, treatment group, teaching cohort or other project.
- [ ] Cannot be planned in detail, and the number of animals required is an estimate. In the space below, briefly describe why it cannot be planned in detail.

Provide explanation based on selection(s) above:

---

6e) What is the basis for your estimates in 6d) above? **Note:** if more animals are required than estimated here, an AUP Amendment form must be filed, with justification for increased numbers.

- [ ] Pilot studies (provide data below)
- [ ] Previous research in our lab (provide data or references below)
- [ ] Published data in the literature, not from our lab (provide references below)
- [ ] Other (specify below)
6f) Specify the environmental enrichment provisions and any housing restrictions, i.e. social housing, specific materials, space, objects, etc. Refer to the Canadian Council on Animal Care's 'Social & Behavioural Requirements of Experimental Animals'. (Appendix 2), or CCAC Guide to the Care & Use of Experimental Animals Vol. 1 - 2nd Edition p. 51-74

Section 7 (a-f): Classification of Experiments and Summary of Species

7a) The CCAC requires that each experiment in an AUP be designated Acute or Chronic, and assigned a Category of Invasiveness.

- **Acute** - Utilizing an animal for a brief period (less than 24 hours), followed by euthanasia or return of the animal to source, or humanely killing an animal upon receipt or after a brief housing period during which time no manipulations other than standard management procedures are performed, i.e. anaesthetized without recovery, euthanised for tissue collection, etc.

- **Chronic** - Maintaining the animal and performing experimental procedures during this time, i.e. feeding trials, antibody production, breeding colony, recovery surgery.

For a detailed explanation of Categories of Invasiveness please see Appendix 1: Categories of Invasiveness in Animal Experiments (available online where you downloaded this AUP form).

7b) Select one Category of Invasiveness (A, B, C, D, E):

7c) Describe the objectives of the experiments:
7d) Briefly describe the experimental rationale (reason or basis for research):
### Section 7: (continued...)

#### 7e) Purpose of Animal Use (select one):
Select one (1) item below that best describes the Purpose of Animal Use (determined by ACC and Principal Investigator).

- **0** Breeding Colony/Stock
- **1** Studies of a fundamental nature in sciences relating to essential structure or function (e.g., biology, psychology, pharmacology, etc.)
- **2** Studies for medical purposes, including veterinary medicine, that relate to human or animal disease or disorders
- **3** Studies for regulatory testing of products for the protection of humans, animals, or the environment
- **4** Studies of the development of products or appliances for human or veterinary medicine
- **5** Education and training of individuals in post-secondary institutions or facilities

#### 7f) Describe exactly what will be done to the animals in a step-by-step description when applicable. Reference to (attached) SOPs must be included when possible quoting both SOP number and title. Where possible, use charts and diagrams to show relationships between different activities and demonstrate the distribution of animal numbers in different procedures.
### Section 8: Animal Use

<table>
<thead>
<tr>
<th>Species / Strain</th>
<th>Quantity</th>
<th>Weight / Age</th>
<th>Gender</th>
<th>Accommodation Building &amp; Room</th>
<th>Experimental Area Building &amp; Room (surgery or procedure room)</th>
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### Section 9: Source of Animals (indicate the source or supplier)

- [ ] Animal Care Services
- [ ] Client owned
- [ ] Client Donated
- [ ] Wildlife / field studies**
- [ ] Teaching Stock**
- [ ] Purchased**
- [ ] Other** (i.e. commercial suppliers, farms)
- [ ] Transfer from AUP and/or Researcher______

**Please specify detail below in table provided:**

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<tr>
<th>Species</th>
<th>Source / Supplier</th>
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**Section 10: Procedures & Monitoring**

10a) List all procedures, manipulations, and/or measurements that will be performed on the animals. Indicate what measures will be taken to alleviate or minimize any pain, distress or discomfort. Include post-operative care, specify analgesics & anaesthetics with dosages and routes of administration, and special procedures used.

**Categories of Invasiveness (A, B, C, D, E) - (used for reference; refer to Section 7 for more information)**

<table>
<thead>
<tr>
<th>Procedures Including injection of compounds, e.g. antibiotics, experimental chemical, etc.</th>
<th>Animals involved in each procedure: species/strain and quantity</th>
<th>Distress or Pain Category of Invasiveness (A, B, C, D, E)</th>
<th>Drug</th>
<th>Dosage</th>
<th>Route</th>
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</table>
Section 10: Procedures & Monitoring (continued...)

10b) Specify the criteria that will be used to assess the level of analgesia / anaesthesia required:

10c) Specify the frequency of observations and methods for monitoring the condition of the animals. Refer to the above listed procedures (10a), e.g. the daily routine observations planned. Please include a copy of the Daily Monitoring Form (Appendix 3)

10d) Explain refinements that have been made to minimize pain, distress and/or discomfort to the animals, i.e. modified procedures:


**Section 11: Experimental and/or Animal Use Endpoint**

When experimental procedures produce animals that may become ill, it is necessary to define an endpoint to ensure that an experimental animal's discomfort, pain and/or distress is terminated, minimized or reduced. **Please attach your Daily Monitoring Form (Appendix 3) and Endpoint Monitoring Form (Appendix 4).**

11a) Indicate any clinical conditions or abnormalities expected or that could arise as a result of the proposed study or teaching exercise (e.g. behavioural changes such as increased grooming, vocalization or postural changes, or physical abnormalities such as anorexia, dehydration, diarrhea, etc.)

11b) In terms of species-specific behavioural changes and physiological signs, list the criteria that will be used to trigger the decision to remove an animal from the teaching exercise or experiment, or to terminate the teaching exercise or experiment.
Section 12: Disposition

Indicate how animals are to be disposed of after completion of the project/research (consult SOPs).

**Euthanasia** [select preferred technique(s)]

- [ ] Anaesthetic Overdose (specify agent) --> 
- [ ] Cervical Dislocation*
- [ ] Exsanguination (under anaesthesia)
- [ ] Decapitation*
- [ ] Other (specify) -->

* Provide justification for using physical methods of euthanasia (required by the CCAC), and state the location that it is done:

Section 13: Consultant Veterinarian Contact Information

In the event of an Animal health emergency, and if contact can NOT be made with any personnel listed in Section 1a/b, the decision of a Clinical Veterinarian, or the Animal Care Committee Chair, will be final. The Veterinarian must be contacted within 24 hours. Refer to Incident Report Form on the ORS website and please complete and submit to the researchethics@uoit.ca

**ONLY complete Section 13 if Veterinarian is someone other than Dr. George Hillis**

Full name: 

Place of work (name, location, address):

E-mail: 

Work phone #: 

Fax number #: 

**UOIT Consultant Veterinarian**

Dr. George Hillis  
East Oshawa Animal Hospital  
1 Townline Road North  
Courtice, Ontario  
L1E 2J2  
Tel: 905-576-3344  
Fax: 905-576-3353  
Email: gphillis@aol.com
**Section 14: Hazardous Agents & Materials**

*Contact the Research Ethics Coordinator for assistance if necessary, 905-721-8668 ext. 3693 or researchethics@uoit.ca*

**Specify each agent/material to be used and hazardous dosage:**

**Note:** If a Biosafety or Radiation Safety permit is required then separate approvals must be obtained. Please contact the Research Ethics Coordinator if you will be working with any Bio-hazardous or Radioactive materials (including ionizing and non-ionizing radiation).

Potential Hazard to **Animals**

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<td>Drug</td>
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<td>Ionizing Radiation</td>
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<td>Other (i.e. allergen)</td>
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Potential Hazard to **Humans**

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<tbody>
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<td>Ionizing Radiation</td>
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<td>Other (i.e. allergen)</td>
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Describe potential health risks to animals or humans. Specify any special animal care required because of the hazard(s) involved. Specify precautions to be taken by personnel. Specify any special containment requirements (i.e. storage, waste/disposal requirements, etc.)
Select those keywords that describe your research or course and the use of animals.

### General
- Acute – Studies
- Behavioural - Encounters
- Behavioural - Modifications
- Behavioural - Observation
- Breeding – Colony
- Chronic – Studies
- Creation of Novel Transgenics
- Development of Techniques
- Digestibility Testing
- Endpoint Required
- Environmental Protection Study
- Fauna Conservation Study
- Field Work
- Grafts/Transplants
- Live animals taken outside animal facility
- Marking/Tagging
- Palatability Testing Pilot
- Studies Required
- Primary Cell Culture
- Recycled Animals
- Reinforcement Motivation
- Research
- Sentinel Animals
- Sentinel Program
- Study of Product Efficacy
- Teaching
- Testing
- Testing Regulations Apply
- Tissue Collection
- Transgenics/Mutations/Knock-Outs
- Trapping/Netting
- Validation of Non-Animal Procedure

### Procedures
- Altered Environment/Exposure
- Anaesthetic – Gaseous
- Anaesthetic – Injectable
- Analgesic – Acetaminophen
- Analgesic – Buprenorphine
- Analgesic – Other (list below)
- Blood Sampling
- Cannulation
- Euthanasia – Gaseous
- Euthanasia – Injectable
- Euthanasia – Physical
- Food Deprivation
- Food Restriction
- Gavaging
- Infection Induction
- Injection Route – IC
- Injection Route – IM
- Injection Route – IP
- Injection Route – IV
- Injection Route – SQ
- Injection Route – IN
- Injection Route – ID
- Injection Route – Other (list below)
- Irradiation
- Monoclonal Antibody
- Polyclonal Antibody
- Restraint – Chemical
- Restrain – Physical
- Special Diet
- Tumour Induction
- Water Deprivation
- Water Restriction
- Water – Treated
- Weight Monitoring

### Agents
- Biohazard Agent
- Chemical Exposure
- Freund’s Complete Adjuvant
- Freund’s Incomplete Adjuvant
- Immunogenic Agents
- Inflammatory Agents
- Pristane
- Radiation
- Radioisotope

### Surgery
- Acute Surgery
- Major Surgery
- Minor Surgery
- Multiple Surgeries
- Stereotaxic Surgery
- Survival Surgery
- Survival Surgery – In Lab

List any other keywords that were not included or any (“other”) selected Keywords from above that require detail:
(Please separate individual Keywords with a comma)
## Section 16: Signatures

Your signature indicates that *(check each box before signing)*:

1. Animals used in this research or teaching project will be cared for in accordance with the principles contained in *The Care of Experimental Animals - A Guide for Canada* (published by the Canadian Council on Animal Care), and the regulations of the Province of Ontario under the Animals for Research Act, 1980.

2. You have considered alternative procedures that do not involve the use of living animals.

3. You will use the minimum number of animals consistent with objectives of described research/teaching program.

4. You have carefully selected the species that you propose to use.

5. You are familiar with the Standard Operating Procedures quoted in this AUP.

6. You will use techniques and facilities that are in accordance with the Guidelines of the Canadian Council on Animal Care.

7. You will notify the Animal Care Committee of any revisions to this AUP.

8. You will keep copies of all approved AUPs, revisions and amendments in an accessible file.

9. This project has been reviewed for scientific merit.

10. The consultant Veterinarian has been contacted for consultation prior to AUP submission.

### Approval from the UOIT Animal Care Committee is valid for a period of one (1) year. AUPs must be renewed annually (12 months from original approval date) even if no revisions are made.

AUP form completed by: __________________________ Email address: ________________________

_____________________________ Date Signed

_____________________________ Date Signed

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**FOR COMPLIANCE OFFICE USE ONLY**

This AUP Form has been reviewed by the UOIT Animal Care Committee (ACC), and is approved based on the information provided.

Signature of UOIT Animal Care Committee (ACC) Chair: __________________________ Date Signed: ________________________

[Insert Electronic-signature image here]

Date of AUP Approval: (office use only) ________________________