

The University Animal Care Committee (UACC) at the University of Saskatchewan (USask) developed the following procedures for submitting animal use protocol (AUP) forms, including annual reviews, protocol modifications and morbidity/mortality incident report forms to the Animal Research Ethics Board (AREB) during the course of a research study or teaching course involving animal subjects. These procedures clarify the responsibility of the Principal Investigator's or Course Director's submission and authorization of signing authority for the AREB.

These procedures are effective January 1, 2022.

1. MEANING OF SUBMISSION AND FACILITY MANAGER REVIEW FOR ANIMAL USE PROTOCOL APPLICATIONS

1.1 The submission of the Principal Investigator/Course Director affirms that:

- a. The Principal Investigator/Course Director is associated with the Department/Administrative unit/Organization.
- b. The information in the application, annual review and/or modification forms is complete and accurate to the best of the knowledge of the Principal Investigator/Course Director.
- c. The Principal Investigator/Course Director agrees to abide by Canadian Council on Animal Care (CCAC) and USask policies, procedures, and guidelines for research, teaching or testing with animal subjects.
- d. The Principal Investigator/Course Director has consulted and has received agreement of participation with all co-investigators listed on their research/teaching AUP.

1.2 If applicable, the signature/approval of the Facility Manager (required for animals housed at USask) affirms that:

- a. The Facility Manager acknowledges and is aware of the research/teaching activity described in the AUP.
- b. The animal facility where the animals will be housed has the space for the number of animals requested and can accommodate the proposed use of animals [which includes the Western college of Veterinary Medicine (WCVM) resident teaching animals] for research/teaching purposes.

2. REQUIRED SIGNATURES

2.1 The Principal Investigator/Course Director must submit all the required forms. Allowance is given for a research team member/course instructor to submit the required documents on behalf of the Principal Investigator/Course Director, provided the Principal

Investigator/Course Director is copied on the correspondence to the Animal Care and Research Support (ACRS) Office which coordinates the AUPs for the AREB.

2.2 The Principal Investigator on a research AUP is usually a faculty member of USask or holds an appointment in the College of Graduate and Postdoctoral Studies (includes Adjunct Professor, Professor Emeritus, Professional Affiliate and Associate Member) as defined in the College of Graduate and Postdoctoral Studies Policy and Procedure Manual. Research scientists or University of Saskatchewan Chair positions may also be the Principal Investigators. Facility Managers who are responsible for housing and maintenance, or breeding protocols, or for standard operating protocols (e.g. antibody production) may also be listed as the Principal Investigator. Students or other trainees (e.g. Post-Doctorate Fellows) cannot be listed as the Principal Investigator on a research AUP; their supervisor must be the designated Principal Investigator who submits the AUP and is responsible for the overall project.

2.3 The Course Instructor on a teaching AUP is generally a faculty member of USask or holds an appointment in the College of Graduate and Postdoctoral Studies (includes Adjunct Professor, Professor Emeritus, Professional Affiliate and Associate Member) as defined in the College of Graduate and Postdoctoral Studies Policy and Procedure Manual. Research scientists or University of Saskatchewan Chair positions may also be course instructors. For short courses, workshops or conferences, students or other trainees may also be listed as the Course Director on a teaching AUP.

3. SIGNING AUTHORITY FOR ANIMAL RESEARCH ETHICS BOARD

All decisions and approvals regarding research/teaching AUPs will be maintained in the UACC file and approved by an authorized official. The following table indicates the persons able to authorize approvals and under what conditions they may do so. All annual reviews approved by the AREB subcommittee are reported to the UACC as a summary report at the yearly spring and fall meetings.

APPROVAL AUTHORIZATION TABLE			
Indicates level of authority required to approve various actions related to the research or teaching AUPs.			
Action	Risk Level	Full AREB	Chair/ Subcommittee / Designated AREB member
Certificate of Approval	New Animal Use Protocol (AUP) applications and 4-year renewals for CCAC Category of Invasiveness (CI) Levels B, C, D and E	√	
Approval Notification from ACRS	New applications for CCAC CI Level A animal use or Exempt Activities		√

Notice of Ethical Review	New AUP applications and 4-year renewals for CI levels B, C, D and E, CI Levels D and E annual reviews and major modifications	✓	
Notice of Ethical Review	CI Levels B and C annual reviews and minor modifications		✓
Modification	Major changes to CI Levels B, C, D and E AUPs	✓	
Modification	Minor changes to AUPs		✓
Annual Review Form	CI Levels D and E AUPs	✓	
Annual Review Form	First three annual renewals of CI Levels B and C Level AUPs		✓
Study Closure Form	All AUPs		✓

For all full AREB reviews required for research/teaching AUPs, modifications, notice of ethical reviews (NERs) and annual review forms, the AREB gives authority to the Chair/AREB Subcommittee (AREB Chair, University Veterinarian or delegate and community representative)/designated AREB member (e.g. researcher member) to approve on behalf of the Board. The responses to the NER are reviewed by the AREB Chair/AREB Subcommittee/AREB designate/full board, as appropriate. If the responses to the concerns/queries made in the NER are addressed adequately, the Certificate of Approval is issued under the name of the AREB Chair/AREB designate.

Approved by the UACC, 25 November 2021