

Office of Research Services



THE UNIVERSITY OF LETHBRIDGE

animal WELFARE approval form – field studies

*Complete, sign, and send* ***an electronic copy*** *of the Animal Welfare Approval Form, and supporting documentation, to the* *Animal Welfare Coordinator**. Applications received* ***two weeks prior to the next Animal Welfare Committee meeting will be considered at that meeting.***

**CONFIDENTIAL**

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| **Consult the Canadian Council on Animal Care (CCAC) *Guide to Care and Use of Experimental Animals, Ethics of Animal Investigation*, and pertinent guidelines before completing this form (**[**http://www.ccac.ca/**](http://www.ccac.ca/)**).****For appendices, guidelines and forms visit the** [**Research Services**](https://www.uleth.ca/research/animal-welfare-guidelines-forms) **website.**  | **For Research Services use only:** |
| Protocol: # |
| *Date Approved:* |
| Principal Investigator: |

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| PART I - ADMINISTRATIVE INFORMATION |

*This information is collected under the authority of the Alberta Post-secondary Learning Act and will be used for administrative purposes associated with the review of your animal welfare protocol. It will be treated in accordance with the privacy protection provisions of Part 2 of the Alberta Freedom of Information and Protection of Privacy Act. Questions about the collection, use or disclosure of your personal information collected on this form can be directed to Danika Dorchak, Office of Research & Innovation Services, University of Lethbridge, Lethbridge, Alberta, T1K 3M4, Phone: (403) 382-7198, Email:* *animal.ethics@uleth.ca* *.*

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| **Principal Investigator (PI)** | **Department** | **email address** |
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| **Business Phone** | **Home Phone** | **Cell Phone** |
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| **Co-Investigator(s)** | **Department** | **email address** |
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| **24 hour emergency contact** | **Business Phone** | **Cell Phone** |  |
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| **alternate Emerg Contact** | **Business Phone** | **Cell Phone** |
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| Project Title |  |

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| [ ]  **NEW Application** | [ ]  **RENEWAL of Protocol #**  |       |
| [ ]  **MAJOR Modification requiring a complete application** | [ ]  **PILOT** [ ]  **New Direction in Existing Protocol** |
|  |  [ ]  **Not Related to an Existing Protocol** |
| Click or tap to enter a date. | Click or tap to enter a date. |
| **Proposed Start Date of Research** | **Expected Date of Completion** |

***For multi-year projects, approval will only be granted for one year and for the number of animals required for that period. Each additional year must be approved through an annual protocol renewal submission, for up to three additional years.***

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| PART II - PROJECT PERSONNEL |

**A: INDIVIDUALS INVOLVED IN ANIMAL USE AND THEIR TRAINING**

**Identify the individual and their position (e.g. faculty, research assistant, postdoctoral fellow, veterinarian, technician, undergraduate, graduate or doctoral student, etc.) involved in animal handling, and indicate their training or relevant experience. Mark with an “x” the Institutional Animal User Training Program (IAUTP) training they have received. If relevant, indicate the type of “Other Training Received”. Under Procedures, indicate the relevant number from the list below:**

1. **Meeting CCAC standards of animal husbandry and housing for duration of captivity**
2. **Observational activities with minimal disturbance**
3. **Capture and restraint of animals**
4. **Marking, banding, tagging, etc.**
5. **Blood/tissue collection**
6. **Administering anesthetics**
7. **Administering analgesics**
8. **Performing euthanasia \***
9. **Other (please specify)**
10. **Oversight and overall management of approved study**

*\* At least one person with species-specific euthanasia training must be present at all times when in the field. Investigators must be prepared to recognize and respond to animals injured as a result of their actions and euthanize those suffering unrelievable pain or distress if they are not expected to survive when released and cannot be rehabilitated.*

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| **Name of Individual** | **Position** | **Procedures** | **IAUTP****Part 1****Ethics** | **IAUTP****Part 2****Handling****(List Species)****“Evidence of Part 2” Form Must Be Submitted to Ethics Officer** | **Other Training Received, Number of Training Hours and Date of Training** | **Training Conducted By** | **Other Training Required** |
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| PART III - CANADIAN COUNCIL ON ANIMAL CARE (CCAC) REPORTING REQUIREMENTS |
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| A: CCAC CATEGORY OF INVASIVENESS (see APPENDIX I for more information): |
| [ ]  **B. Experiments which cause little or no discomfort or stress** [ ]  **C. Experiments which cause minor stress or pain of short duration****D. Experiments which cause moderate to severe distress or discomfort\*** **E. Procedures which cause severe pain near, at, or above the pain tolerance threshold of unanesthetized conscious animals\*****\*This form is for minimally invasive field studies. If your protocol involves procedures that fall into the “D” or “E” Category of Invasiveness, you must submit your protocol on the full Animal Welfare Approval Form.**  |
| B: CCAC PURPOSE OF ANIMAL USE (PAU) (see APPENDIX II for more information): |
| [ ]  **PAU 0** Animals held in **breeding colonies** that have not been assigned to a particular protocol.[ ]  **PAU 1** Studies of a **fundamental nature** in sciences relating to essential structure or function.[ ]  **PAU 2** Studies for **medical purposes**, including veterinary medicine, that relate to human or animal diseases or disorders.[ ]  **PAU 3** Studies for **regulatory testing** of products for the protection of humans, animals, or the environment.[ ]  **PAU 4** Studies for the **development of products** or appliances for human or veterinary medicine.[ ]  **PAU 5 Education and training** of individuals in post-secondary institutions or facilities. |
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| PART IV - ANIMALS REQUESTED |

**A: NUMBER AND TYPE OF ANIMALS REQUESTED**

*It is acceptable to provide a range of animals in situations where it is impossible to calculate the exact numbers of animals that will be used.*

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| **Species (Specific and Common Names)** | **Age** | **Sex** | **Source of animals** | **Max for Year 1** | **Species Status\*** |
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*\****Species Status: E=Endangered T=Threatened SC=Of Special Concern NL=Not Listed (**[**COSEWIC**](http://www.sararegistry.gc.ca/sar/listing/default_e.cfm)**)**

**EW=Extinct in the wild CR=Critically endangered EN=Endangered VU= Vulnerable NT= Near Threatened LC= Least Concern DD= Data Deficient NE= Not Evaluated (**[**IUCN**](https://www.iucnredlist.org/)**)**

**B: JUSTIFICATION FOR THE NUMBER OF ANIMALS REQUESTED**

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| **Provide the statistical significance or scientific validity to justify the number of animals requested *including the group size or range of group sizes*.** [**Reduction**](https://ccac.ca/en/three-rs/replacement-reduction-refinement.html) **of animal use should be emphasized within an appropriate experimental design, while ensuring that sufficient numbers of animals will be used to fulfill requirements for statistical significance/scientific validity (i.e. previous pilot study, statistical power analysis, resource equation analysis, expected background mortality rate (%), etc.) in the case of research projects, or for acceptance of regulatory tests.**  |
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|  | PART V - LOCATION OF ANIMALS DURING PROCEDURES |

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| **Field site location (please specify if known):**  |  |

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| PART VII – JUSTIFICATION FOR ANIMAL USE |

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| **CCAC guidelines and University policy require that animals selected should be the appropriate species and that the minimum number be used to obtain valid results. The Three Rs** [**(replacement, reduction and refinement alternatives)**](https://ccac.ca/en/three-rs/replacement-reduction-refinement.html) **should be employed.**  |

| **A. Explain the necessity of using animals in this study, and provide justification if observational studies or replacement alternatives cannot be used (non-animal methods, cell-tissue culture, computer simulations, audio-visual teaching methods, the replacement of sentient animals with animals of lower sentiency, etc.).** |
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| **B. Describe the characteristics of the animal that make the species or strain appropriate for the research or teaching objectives, i.e. structural, behavioural, physiological, biochemical or other features or considerations.**  |
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| PART VIII – SCIENTIFIC MERIT, FUNDING SOURCE & PERMITS |

**Is this project:**

[ ]  **Research** [ ]  **Testing** [ ]  **Research and Testing**

**SCIENTIFIC MERIT:**

**The Canadian Council on Animal Care requires that each research proposal has been evaluated and shown to have** [**scientific merit**](http://www.ccac.ca/Documents/Standards/Policies/Scientific_merit_and_ethical_review_of_animal-based_research.pdf) **through independent peer review before approving the project. The AWC must receive confirmation that the protocol is part of a research program or project that has been found to have scientific merit before the AWC can conduct the ethical review of the protocol. Please contact the Office of Research and Innovation Services if your proposal has not been evaluated for scientific merit to arrange for independent peer review.**

**Status of Funding:** [ ]  **Awarded Funding Start Date:** Click or tap to enter a date.

 **End Date:** Click or tap to enter a date.

[ ]  **Pending**

**Funding Agency/Source:**

**Is this project funded through a contract? Yes** [ ]  **No** [ ]

**Status of Protocol:** [ ]  **Peer-reviewed**

 **(choose 1 only)** [ ]  **Pending**

[ ]  **Non-peer reviewed**

**PRE-CLINICAL TESTING OF DRUGS:**

**Testing must been planned according to the most current regulatory requirements, using guidelines acceptable to the regulatory agency(ies) and which meet the requirements of the CCAC policy statement on: ethics of animal investigation.**

**Does your project involved pre-clinical testing of drugs? Yes** [ ]  **No** [ ]

**If yes, attach a copy of the relevant regulatory requirements.**

**PERMITS REQUIRED**

**It is the Principal Investigator’s responsibility to obtain the necessary permits.  *Permit numbers (with the exception of Health Canada Controlled Drug Exemptions) must be sent to the Animal Welfare Coordinator when they have been obtained.***

**Are federal or provincial permits required for importation, collection, and maintenance (*including Health Canada Controlled Drug Exemptions*)?**

No [ ]  Yes [ ] , Agency:

**Permit application is**: Approved [ ]  Pending [ ]  To be Submitted [ ]

**Permit Number(s)** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

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| PART IX – ANIMAL PROCEDURES |

**A: LIST OF PROCEDURES, MANIPULATIONS AND MANAGEMENT INVOLVED IN THIS PROTOCOL INVOLVING ANIMALS**

**List *all* procedures, manipulations, and/or measurements that will be performed on the animals in the appropriate category below. If a category of procedure is not required for this protocol, write N/A.**

**Cite SOP numbers/titles, where appropriate.**

***The PI must ensure that they and their personnel have read and follow the pertinent SOPs.***

| **PROCEDURES****Including injection of compounds, experimental manipulation, etc.** | **SOP #’s**  | **Procedure Title (s) or Description**(add an additional column if more than one procedure is used in each category) | **Animals involved in each procedure: species/strain and quantity** | **Distress or Pain****(B-E)\*** |
| --- | --- | --- | --- | --- |
| 1. **Restraint or CAPTURE**
 |  |  |  |  |
| 1. **INDIVIDUAL MARKING**
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| 1. **BLOOD/ TISSUE COLLECTION**
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| 1. **ANESTHETIC**
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| 1. **EUTHANASIA**
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**\* Indicate the Category for each procedure listed (refer to the Canadian Council on Animal Care’s ‘Categories of Invasiveness in Animal Experiments’, APPENDIX I).**

**B: SUMMARY OF DRUGS, CHEMICALS OR BIOLOGICALS (INCLUDING** **analgesics and anesthetics)**

**\*List Analgesics, anaesthetics and antibiotics FIRST (strategies to alleviate pain or distress)**

**Provide a description of any drugs, chemicals or biologicals to be administered (including analgesics and anesthetics). Proper storage and disposal is essential. Drugs must not be past the expiration date.**

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| **Animal** | **Agent** | **Purpose** | **Route** | **Dose** | **Frequency****(per day & # of days)** | **Storage (i.e. refrigeration)** | **Disposal Method** | **Health Canada Exemption Required\*** |
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**\*The *Application Form for an Exemption to Use a Controlled Substance for Scientific Purposes* can be found here:** [**Health Canada Exemption Application**](http://www.hc-sc.gc.ca/hc-ps/substancontrol/exemptions/applic-scien-eng.php)

**C. ENVIRONMENTAL IMPACT OF DRUGS, CHEMICALS OR BIOLOGICALS**

| **A. Explain the potential impact that these drugs, chemicals or biologicals (including analgesics, anaesthetics and antibiotics) may have on the animal or the environment. Describe the steps you will take to minimize the impact.**  |
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**D: DETAILED DESCRIPTION OF ALL PROCEDURES, MANIPULATIONS AND/OR MEASUREMENTS INVOLVING ANIMALS**

**Experimental procedures involving the capture, handling and release of wild animals are of special concern as a lack of conditioning results in a high degree of stress in captured wild animals. The necessity for capture, handling and/or administration of drugs or other compounds must be clearly established. Detailed descriptions of all pursuit, capture, handling and chemical restraint procedures, and explanations of their appropriateness, are essential. Criteria used to assess suitability for release must be clearly stated. Provision for recovery, treatment, or euthanasia of injured animals and disposal of carcasses must be specified.**

**If traps are to be used, the type of trap, its injury potential, and the monitoring frequency of the traps are important considerations. The collection of samples and affixing of devices to the animal(s) must be described (weight, method of attachment, duration) and be clearly related to the objective(s) of the study. Protocols for field studies involving population sampling by killing of animals (e.g., using methods such as shooting), must include justification for the method used. The use of such methods must be by individuals with sufficient experience and expertise to ensure that the animals are humanely killed.**

**Wildlife research may involve the use of specialized holding areas and transportation of animals. The potential for injury to personnel and the animals during these procedures should be minimized. The holding of wild animals in highly confined enclosures for extended periods should be avoided.**

**Ecological disruption may result from the performance of some types of field studies. The type and degree of disruption expected (or its potential) must be indicated (e.g., the adverse consequences to survival and reproduction experienced by the herd, colony, or individual animal due to the study procedures).**

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| 1. **Provide a lay summary, outlining the objectives of the proposed project, written so that all members of the Animal Welfare Committee, including community and non-user faculty representatives, have sufficient information to comment on the procedures as they pertain to the care and welfare of animals.****2. Provide a brief rationale for each procedure, manipulation and/or measurement.** **3. Explain in detail the procedures/experimental design, including the following:** 1. **Method of capture/restraint, which personnel will capture/restrain, duration of captivity, and monitoring schedule during the procedure(s) and recovery**
2. **Monitoring schedule for traps and nets**
3. **Marking/banding/telemetry procedure and the potential impacts**
4. **Strategies for care to alleviate pain, distress, and discomfort**
5. **Transportation and/or housing of animals in the field**
6. **Release of captured animals (i.e., will they be released at or near the capture site, or will they be relocated to other locations and/or populations?)**
7. **Capture of non-target species**
8. **Potential injury/mortality, mitigation and management**
9. **Special handling**

**4. Provide a table or flowchart detailing the timeline of the procedures, manipulations and /or measurements on individual animals or groups of animals.** |
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| **E: ECOLOGICAL IMPACTS OF PROPOSED WORK**  |
| 1. **Explain the potential ecological impacts of your work. Provide justification for why these impacts are necessary and explain what you will do to reduce the potential impacts/disturbances of your research on wildlife and the environment.****2. Explain how you will prevent impacts on the overall population and how you will minimize the impact of concurrent or consecutive scientific activities.****3. If your study involves manipulating the environment, explain how you will reduce the impact on target and non-target species.** |
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| PART X –ANIMAL USE HUMANE ENDPOINT  |

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| **In the course of an experiment, animals may experience expected (or unexpected) effects. Compliance with the CCAC guidelines clearly places responsibility on everyone involved in the care and use of animals to ensure that animals do not undergo *“unnecessary pain and suffering”*. This section is aimed at identifying appropriate humane endpoints, and providing guidance for suitable treatment of animals who have reached endpoint.****Humane Endpoint is defined as the point at which an experimental animals’ pain and/or distress is terminated, minimized, or reduced, by taking actions such as terminating a painful procedure, giving treatment to relieve pain and/or distress, or euthanizing the animal humanely. *Do not confuse the humane endpoint with the intended point at which you gather scientific data (experimental endpoint)*.****All protocols, even non-invasive ones, must identify endpoints to ensure that any animals requiring treatment are treated appropriately. PIs should refer to the** [***CCAC guidelines on: choosing an appropriate endpoint in experiments using animals for research, teaching and testing***](http://ccac.ca/Documents/Standards/Guidelines/Appropriate_endpoint.pdf)**.**  |

| **A. Please provide an outline (including the frequency of assessment) for your animal welfare assessment plan.** |
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| **B. Provide a brief summary outlining the anticipated or potential morbidities, complications, signs and/or criteria that would lead to the cessation of activities using the affected animal(s) or providing treatment or emergency euthanasia (e.g., vocalizing, inability of aquatic animals to hold normal position in water, inability to fly, etc.). Provision for recovery, treatment, or euthanasia of injured animals and disposal of carcasses must be specified.** |
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| **C. In the event of a mortality, which samples will be collected for postmortem analysis? This question should be answered in collaboration with the university veterinarian.**  |
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| PART XI – SAMPLES TO BE TAKEN FROM LIVE ANIMALS (NOT postmortem tissue collections) |

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| **Animal** | **Sample** | **Site & Method of Collection** | **Amount** | **Frequency** |
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| PART XII – FATE OF ANIMALS |

| **A. Provide details of intended fate of the animals used in the study (e.g., release to the wild immediately following live trapping or following captivity). Please indicate the length of time animals will be held and, if applicable, explain the measures taken to ensure that animals can be returned to the wild successfully.**  |
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| PART XIII – HAZARDS TO STAFF |

**Animal welfare approval is contingent upon review of the hazards to staff.**

**To assess these hazards, a** [**Hazard Assessment Report**](http://www.uleth.ca/risk-and-safety-services/hazard-management) **must be completed, and submitted to Safety Services and the Research Ethics Officer for review. This report, along with the** [**Field Safety Plan**](http://www.uleth.ca/risk-and-safety-services/field-activity-safety) **is available from** [**Safety Services**](http://www.uleth.ca/risk-and-safety-services/hazard-management). **If you have questions regarding completion of the Hazard Assessment Report, contact Safety Services.**

**Is your Hazard Assessment Report submitted and up to date?**

**Yes** [ ]  **No** [ ]

**If your research involves biohazards or radioisotopes, contact Safety Services for Biosafety Committee or Radiation Safety Committee review. Please select one of the choices for the following:**

**Approval has been received or review requested from the:**

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| **Received** | **Requested** | **N/A** |  |
|[ ] [ ] [ ]  **Biosafety Committee** |
|[ ] [ ] [ ]  **Radiation Safety Committee** |
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| PART XIV – DECLARATION |

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| **Your signature below affirms that:**1. **You acknowledge responsibility for the animals and personnel in this project.**
	1. **All animals used in this project will be cared for in accordance with the CCAC, the regulations of the Province of Alberta and the University of Lethbridge Animal Welfare Committee.**
	2. **All students, staff and faculty are/will be trained to conduct the project in a humane and scientific manner.**
2. **The techniques, facilities and equipment to be used in this project conform to all applicable regulations and guidelines of:**
	1. **The CCAC, and**
	2. **Federal and local government regulations in force in Canada and/or the country in which the project is being conducted.**
3. **You have considered alternative procedures that do not involve the use of living animals.**
4. **You will use the minimum number of animals consistent with the objective of this project.**
5. **You have carefully selected the most appropriate species and/or model for this project.**
6. **The procedures described in this protocol must be followed unless an amendment to the protocol is submitted and approved. Substantial changes will require re-submission to the Animal Welfare Committee.**
7. **You will notify the Animal Welfare Committee in writing of any revisions to this protocol.**
8. **You will report the number of animals used in this project to the Animal Care Coordinator, when requested.**
9. **You will keep copies of all approved protocols, revisions and amendments in an accessible file.**

**This protocol is valid for one year from the date of approval. Multi-year projects are subject to annual review and approval. Extensions can be granted on an annual basis, up to a maximum of four years.****Following AWC approval, a protocol number will be assigned. All animals used for this protocol should be identified (e.g., on cage cards, in the field log book) with the assigned protocol number.**[**GENERAL INFORMATION AND APPENDICES ARE AVAILABLE HERE**](https://www.ulethbridge.ca/research/animal-ethics-guidelines-forms) |

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|  | Click or tap to enter a date. |
| **Principal Investigator’s Signature** | **Date** |