

HOOD COLLEGE
INSTITUTIONAL ANIMAL CARE AND USE COMMITTEE POLICIES AND PROCEDURES

I. PURPOSE AND POLICY

The purpose of the Hood College Institutional Animal Care and Use Committee (IACUC) is to assure that all research involving vertebrate animals associated with the College conforms to applicable Maryland and federal regulations. This policy describes procedures for the approval of *Animal Study Proposals*, as well as the procurement, handling, care, and treatment of vertebrate animals utilized for research at Hood College.

The policies and procedures contained in this document specifically apply to research utilizing live vertebrate animals, including those used as part of teaching courses. All research and teaching involving vertebrate animals must be in accordance with these principles and receive approval from the IACUC. No research or teaching activity with vertebrate animals shall occur without an approved proposal.

Hood College is committed to maintaining high standards for the care and use of animals in research and teaching as outlined by the "*U.S. Government Principles for the Utilization and Care of Vertebrate Animals Used in Testing, Research, and Training.*"

II. ANIMAL RESEARCH PROPOSAL

A. Requirements

1. An *Animal Study Proposal* must be completed and approved prior to research or teaching activity involving vertebrate animals. Any significant changes to this protocol must be approved by the Hood College IACUC before implementation (IACUC@hood.edu). Examples of changes considered to be significant include (but are not limited to):
 - a. Study objectives
 - b. From survival to non-survival surgery status
 - c. Resulting in greater discomfort and/or a greater degree of invasiveness
 - d. In the species or approximate number of animals utilized
 - e. In Primary Investigator (other personnel changes require IACUC notification)
 - f. In use of anesthetic or analgesic agent(s)
 - g. In euthanasia method
 - h. The duration, frequency, or number of procedures performed

2. All personnel involved in research or teaching projects involving vertebrate animals must be (a) listed on the proposal and (b) receive appropriate training as outlined by the IACUC. Prior to initiating any investigation, all individuals working with vertebrate animals must complete the "Working with the IACUC" and "Responsible Conduct of Research" modules via the Collaborative Institutional Training Initiative (CITI Training) website, as well as any species-specific modules appropriate to the species of study.

3. All research and teaching activities employing vertebrate animals must be reviewed annually. Each Primary Investigator (if Hood Faculty) or Faculty Sponsor (if Primary Investigator is a student) is required to provide an annual update in the form of a letter to the IACUC indicating (a) if the project is still active and (b) if any personnel or experimental procedures have changed. Annual updates are due to the IACUC one month prior to the anniversary of the IACUC's original approval of the proposal.

B. Exemptions

Observation (noninvasive) of wild vertebrate animals in a natural, unaltered habitat is exempt from the requirement for an *Animal Study Proposal*. Note that field studies involving killing, trapping, banding, darting, or implementation of telemetry devices are not exempt from review. Primary Investigators are encouraged to consult with the IACUC for studies believed to be exempt.

C. Procedure

1. Primary Investigators shall complete and submit an electronic copy of the *Animal Study Proposal* form to the Hood IACUC via e-mail (IACUC@hood.edu).
2. The IACUC Chair will pre-review the submitted proposal and obtain any additional needed information. Following pre-review, the IACUC Chair will assign a number to the proposal and ensure that all IACUC members can access the protocol electronically. The IACUC Chair will communicate the proposal number to the Primary Investigator via e-mail.
3. The IACUC members will review the proposal and vote to approve, withhold approval, request further information, or indicate that modification is needed to secure approval. When necessary, the IACUC may invite consultants for assistance in reviews. However, consultants may not approve or withhold approval of a proposal or vote with the IACUC unless they are also IACUC members. In accordance with Public Health Service (PHS) Policy, methods of review include:
 - a. Full-committee review via a convened quorum (simple majority) of IACUC members
 - i. Methods of telecommunications (e.g., telephone or video conferencing) are acceptable for official IACUC business requiring a quorum provided:
 - All members are notified of the meeting
 - Documents typically provided in a physically-convened meeting are available
 - All members have access to the documents and the technology to fully participate
 - Real-time verbal interaction equivalent to that occurring in a physically-convened meeting is possible
 - Measures are taken to ensure that if a vote is called for it can be counted accurately (mail ballot or individual telephone polling are not permissible under PHS policy)

- Opinions of absent IACUC members transmitted by mail, telephone, fax or e-mail may be considered but may not be counted as votes or considered as towards the quorum.
 - Written meeting minutes are maintained
- b. Designated member review by one or more IACUC members appointed by the IACUC Chair
- i. When designated member review is used, all IACUC voting members will retain the ability to call for full-committee review for a minimum of two (2) weeks following initial electronic positing of the protocol. If any IACUC member requests full committee review during this time, the protocol in question must receive full-committee review via a convened quorum (simple majority).
 - ii. If no member request full committee review, the decision of the designated reviewer made within this two (2) week period will stand.
 - iii. In accordance with PHS Policy, designated review may only lead to approval, a requirement for modifications (to secure approval) or referral to the full committee for review; designated review may not result in withholding of approval.
 - iv. The designated reviewer will communicate their decision to the IACUC Chair electronically.

4. The IACUC reviews significant changes to approved protocols using either the full committee review method as stated above in section II.C.3.a. OR the designated member review method as stated above in section II.C.3b. Before significant changes to approved protocols can occur, they must first be reviewed and approved by the IACUC. Examples of significant changes (per OLAW IACUC Guidebook) to approved protocols are as follows:

- Change in objectives of a study;
- Change in proposals to switch from nonsurvival to survival surgery;
- Change in degree of invasiveness of a procedure or discomfort in an animal;
- Change in species or in approximate number of animals used;
- Change in personnel involved in animal procedures;
- Change in anesthetic agent(s) or in the use or withholding of analgesics;
- Change in methods of euthanasia; or
- Change in duration, frequency, or number of procedures performed on an animal.

5. The IACUC will review all active projects as described above each year; the Primary Investigator must submit a new proposal every three (3) years. Note that the IACUC does not have the authority to administratively extend any protocol's approval beyond three (3) years per PHS policy.

6. Following review, the IACUC Chair will notify the Primary Investigator via email of the proposal's status. Upon the Primary Investigator's request, the IACUC Chair will provide

documentation that the IACUC has reviewed and approved a study for funding agencies that require such documentation. In the event that the IACUC Chair requires such documentation, the Chair will ask another member of the IACUC to provide such documentation.

7. Primary Investigators may request that the IACUC reconsider an unfavorable or negative decision by contacting the IACUC Chair. When such a request is made, the Primary Investigator must provide additional evidence to the IACUC indicating why the proposal should be reconsidered. The IACUC may reconsider its decision with notes from the initial reviewers, along with new information supplied by the Primary Investigator.

8. A copy of the approved proposal must be kept on file by the Primary Investigator (if Hood Faculty) or Faculty Sponsor (if Primary Investigator is a student).

9. Applications and proposals approved by the IACUC may be subjected to further review and approval by institution officials. However, such officials may not approve an activity involving the care and use of animals if such activity has not been approved previously by the IACUC per PHS policy.

10. Review of a research or teaching project or evaluation of a program or facility by more than one recognized IACUC is not required (per Office of Laboratory Animal Welfare). However, the respective responsibilities of the collaborating parties must be clearly defined. See the paragraph entitled "No Requirement for Duplicate Review" in *NIH Guide for Grants and Contracts NOT-OD-01-017* for more information. When research is approved by a collaborating institution, the Hood participating party should provide the Hood IACUC with documentation of such approval. Additionally, the Hood participating party should advise the Hood IACUC of any significant questions, concerns, or issues raised during a semiannual program inspection by another IACUC for that protocol.

11. The IACUC must review and approve activities on a project-specific basis considering factors such as the aims of the study, consideration of alternatives, and minimization of pain and distress. However, for routine aspects of research such as species specific techniques for immunization and titer determinations during antibody production, standard operating procedures (SOPs) may be submitted and approved to allow the investigator to cite such procedures in their protocols to avoid unnecessary repetition (per PHS policy). Such SOPs must be reviewed by the IACUC once every three (3) years to ensure they are current and accurate.

D. Criteria for Review of Protocols

The criteria for review of protocols are listed in the *Animal Welfare Act regulations*, *PHS Policy*, the "*U.S. Government Principles for the Utilization and Care of Vertebrate Animals Used in Testing, Research, and Training*," the *Guide for the Care and Use of Laboratory Animals*, and the *Guide for the Care and Use of Agricultural Animals in Agricultural Research and Teaching*. The Hood College IACUC will evaluate protocols according to these guidelines.

III. RESPONSIBILITIES

A. IACUC

1. The IACUC is required by the *Animal Welfare Act, Guide for the Care and Use of Laboratory Animals*, the *Guide for the Care and Use of Agricultural Animals in Agricultural Research and Teaching*, and *PHS Policy* to oversee research and teaching involving vertebrate animals at Hood College.

2. These responsibilities include (but are not limited to):
 - a. Reviewing, at least once every six (6) months, Hood College's Animal Program Description and the status of the facilities where vertebrate animal research is conducted at Hood College. As noted by the *Animal Welfare Act*, at least two IACUC members must perform the semi-annual evaluation; however, any IACUC member who wishes to participate may not be excluded.
 - i. Semiannual IACUC inspections of field study sites are not required (per PHS policy). However, Primary Investigators should advise the IACUC of the circumstances under which such activities are conducted through written descriptions, photographs, or videos so that the IACUC can consider risks to both personnel and impact on subjects.
 - b. Reviewing and approving, requiring modifications (to secure approval), obtaining more information about, or withholding approval of *Animal Study Proposals*.
 - c. Developing procedures and guidelines based on federal, state, and Hood College policies.
 - d. Investigating reported concerns of research involving vertebrate animals at Hood College.

3. The Hood College IACUC is appointed by the Provost and consists of, at minimum, five (5) members: (1) a veterinarian, (2) a practicing scientist experienced in animal research, a person whose primary concerns are in nonscientific areas, and a person unaffiliated with the institution except as a member of the IACUC. An individual may fulfill more than one of the specified categories as long as the committee consists of at least five (5) members. The members must be qualified through experience and expertise to provide appropriate oversight for research involving vertebrates at Hood College. PHS policy provides the following definitions of a nonscientific member and a nonaffiliated member:
 - a. Nonscientific member: IACUC member who is not a practicing scientist but is experienced in animal research
 - b. Nonaffiliated member: IACUC member who represents general community interest in proper care and use of animals. This member must (1) not be a laboratory animal user, (2) not be affiliated with the institution, and (3) not be an immediate family member of an individual affiliated with the institution.

IACUC members must complete "Working with the IACUC", "Responsible Conduct of Research", and "Essentials for IACUC Members" modules via the Collaborative Institutional Training Initiative (CITI Training) website.

4. The IACUC may suspend research activity after review at a convened meeting and with the suspension vote of a simple majority of the quorum present. The Primary Investigator will be notified of such a vote by the IACUC electronically, phone, and in writing following the suspension vote. If the IACUC suspends activity involving vertebrate animals, the IACUC will consult with appropriate administrative bodies regarding the reason(s) for the suspension, take appropriate corrective action, and report that action with explanation to the Institutional Official. The Institutional Official will, in consultation with the IACUC, review the reason for the suspension, take appropriate corrective action, and report that action to the *Animal Health Inspection Service* (APHIS), OLAW, and any federal agency funding the suspended research activity.

5. PHS Policy requires minutes of IACUC meetings.

- a. Such records should contain notation regarding attendance, committee activities, and committee deliberations. Discussion of any major issues and their outcome must be documented. Such documentation must be in sufficient detail for an outside reader to understand the nature of the discussion and the conclusions reached by the IACUC. However, written transcripts or tape recordings of meetings are not required.
- b. Minority views expressed (1) as recommendations to the Institutional Official and/or (2) during semiannual inspections must be maintained and included in the Annual Report to OLAW. Importantly, PHS policy distinguishes between a minority view and a dissenting vote and provides the following information.
 - i. While protocol approval and suspension of animal study protocols by the IACUC require a simple majority vote of a quorum of the IACUC, an IACUC member's dissenting vote in these circumstances does not constitute a minority view for reporting purposes. However, the dissenting vote must be recorded in the minutes.
 - ii. Minority views may address any aspect of Hood's animal program, facilities, or personnel training. The minority view may be addressed to OLAW as part of an annual report, renewal Assurance document materials, or directly from the dissenting IACUC member.

B. Primary Investigator

1. The Primary Investigator is the individual responsible for research or teaching project(s) using vertebrate animals.
2. Primary Investigators are responsible for preparing and submitting an *Animal Study Proposal* before commencing any research or teaching activity and for adhering to the protocol as approved.
3. Primary Investigators must know the requirements of the agencies from which they seek funding and submit approved *Animal Study Proposals* to their funding agencies, if required.

4. Primary Investigators are responsible for ensuring that all vertebrate animals utilized in their research are handled by individuals that have received appropriate training.

IV. ANIMAL PROCUREMENT

Animals shall not be procured for or transferred to investigators lacking an IACUC approved protocol.

V. HOUSING, CARE, AND HANDLING OF ANIMALS

A. In the event a vertebrate animal is housed at Hood College for the purpose of research or teaching, its housing and care must accord with the *Animal Welfare Act*, the *Guide for the Care and Use of Laboratory Animals*, and the *Guide for the Care and Use of Agricultural Animals in Agricultural Teaching and Research*. The IACUC will consider exceptions with appropriate scientific justification. The Primary Investigator, as part of the *Animal Study Proposal*, should submit such justifications to the IACUC. The attending veterinarian or a veterinarian designated by the attending veterinarian will make periodic visits to observe animals and assist in ensuring compliance with approved protocols if vertebrate animals are housed at Hood College for the purpose of research or teaching.

B. In the event a vertebrate animal is housed at Hood College for the purpose of research or teaching, such vertebrate animals shall be housed only in locations both IACUC inspected and approved. If housed at Hood College, the movement of vertebrate animals outside the location in which they are housed is discouraged—especially if the procedures can be conducted in the location in which the animal is housed. Vertebrate animals removed to other areas, including laboratories, for research or teaching purposes must be returned to the housing facility after no longer than 12 hours unless such procedures are scientifically justified and approved by the IACUC.

C. No vertebrate animal or vertebrate animal carcass utilized for research shall be removed from or brought onto Hood College property except in accordance with campus procedures and prior IACUC approval.

D. All vertebrate animal carcasses must be disposed of in a safe manner. The method of disposal must be specified in the *Animal Study Proposal* and accord with all applicable state and federal guidelines.

VI. INSTITUTIONAL REPORTING

Each year in which a Primary Investigator at Hood College receives funding requiring a report to OLAW, the IACUC will prepare and submit an annual report to OLAW through the Institutional Official (sample report: <http://grants.nih.gov/grants/olaw/sampledoc/report.htm>). This report describes (at minimum) any changes in Hood College's program of animal care and use, AAALAC accreditation status, changes of Institutional Official and in IACUC membership, the dates that the IACUC conducted its semiannual evaluations of the program and facilities, and any minority views. Descriptions of any program changes for such a report must be comprehensive and of sufficient detail to replace previously submitted information. If no changes are needed, a statement indicating that must be provided. This report covers a 12-month period, and is due at the end of the month immediately following the end of the institution's reporting period. OLAW encourages the use of the calendar year as the reporting period (January 1 – December 31) with the report due to OLAW January 31 for the preceding calendar year.

Adapted from the University of California at Davis's University Policy on the Use of Animals in Research and Teaching (2007), [Animal Welfare Act regulations](#), [PHS Policy](#), the "[U.S. Government Principles for the Utilization and Care of Vertebrate Animals Used in Testing, Research, and Training](#)," the [Guide for the Care and Use of Laboratory Animals](#).

VII. USEFUL REFERENCE LINKS

- i. Animal Welfare Act Regulations. U.S. Code of Federal Regulations, Title 9, Subchapter A.
- ii. Institute of Laboratory Animal Resources: Guide for the Care and Use of Laboratory Animals, National Academy Press, 1996.
- iii. The Federation of Animal Science Societies: Agricultural Guide for the Care and Use of Agricultural Animals in Agricultural Research and Teaching, 1999.
- iv. National Institutes of Health: Public Health Service Policy on Humane Care and Use of Laboratory Animals.
- v. Report of the AVMA Panel on Euthanasia.