

Winthrop University
Policy on Care and Use of Vertebrate Animals in Research and Instruction

CONTENTS

- 1) Applicability
- 2) Policy
- 3) Institutional Animal Care and Use Committee (IACUC) Membership
- 4) IACUC Functions
- 5) Personnel Qualifications
- 6) Attending Veterinarian and Adequate Veterinarian Care
- 7) Externally or Internally Funded Research Proposals
- 8) Responsibilities of the Research Investigator and Instructor
- 9) Responsibilities of the Department Chair or Cognizant Administrator

1) **Applicability**

The Board of Trustees of the Winthrop University recognizes that the proper care and management of animals used in research and instruction is essential to the well being of the animals, to the validity of research data, to the quality of instruction, and to the health and safety of those caring for and using animals. Therefore, the Board has adopted the policy and procedures herein, which are applicable to all research and instruction activities conducted at or under the auspices of Winthrop University that involve vertebrate animals, including non-laboratory species.

2) **Policy**

- a) It is the policy of the Board of Trustees that use of vertebrate animals, alive or dead, in research and instruction shall conform to all applicable laws, rules, and regulations of the United States Government and the State of South Carolina. Furthermore, all such research and instruction must be performed in compliance with the highest standards of ethics, practice, and conduct of each of the fields or disciplines involved in each of the specific research projects or instructional activities.
- b) To ensure compliance with regulations regarding the humane care and use of animals in research and instruction, the Provost shall appoint an Institutional Animal Care and Use Committee (IACUC), which meets regulatory requirements and is charged with the responsibility of ensuring the humane care and use of animals at the University.
- c) The Board of Trustees and the IACUC recognize the following regulatory authorities for the care and use of animals:
 - i) The U.S. Department of Agriculture (USDA). The Animal Care (AC) section of the Animal and Plant Health Inspection Service (APHIS) of the USDA is

responsible for implementing the regulations and standards promulgated by the Secretary of Agriculture under the mandate of the Animal Welfare Act.

- ii) The Office for Protection from Research Risks (OPRR). OPRR is responsible for the general administration and coordination of National Institutes of Health policy regarding animal care and use.
- d) The Board of Trustees and the IACUC further recognize the following guidelines, and any others, which are subsequently officially adopted by the IACUC, for the care and use of non-laboratory animals in research and instruction.
 - i) Guidelines for Use of Fishes in Field Research. American Society of Ichthyologists and Herpetologists (ASIH), American Fisheries Society (AFS), and American Institute of Fisheries Research Biologists (AIFRB); Fisheries, Vol. 13, No. 2, p. 16-23, 1988
 - ii) Guidelines for Use of Live Amphibians and Reptiles in Field Research. Compiled by American Society of Ichthyologists and Herpetologists (ASIH), The Herpetologists' League (HL), and Society for the Study of Amphibians and Reptiles (SSAR)
 - iii) Guidelines for the Use of Wild Birds in Research. Edited by Abbot S. Gaunt & Lewis W. Oring, Special Publication of The Ornithological Council, 1997.
 - iv) Guidelines for the Capture, Handling, and Care of Mammals. The American Society of Mammalogists (ASM).
 - v) Guide for the Care and Use of Laboratory Animals. Institute of Laboratory Animal Resources, Commission on Life Sciences. National Research Council. Copyright 1996 by the National Academy of Sciences.
 - vi) 9CFR Animal Welfare Act

3) IACUC Membership

- a) The Provost shall appoint members to the IACUC, who are qualified through experience and expertise to assess the University's animal program, facilities, and procedures.
- b) The membership of the IACUC shall meet the requirements of Section 2.31(b) of the Animal Welfare Act. The IACUC shall be composed of a Chairman and four additional voting members. No more than two members shall be from the same administrative unit of the University.

- c) Included in the voting members shall be a Doctor of Veterinary Medicine with training or experience in laboratory animal science and medicine and, in the event that the University establishes an Animal Care Facility, shall have responsibility for providing veterinary care to the animals.
- d) Also included in the voting members shall be a community representative that is not affiliated with the University except through service on the IACUC.
- e) The terms of voting IACUC members shall be for three years and shall be staggered with at least one member completing his/her term each academic year. (The academic year is August 16 to August 15.) Members may be re-appointed to the IACUC at the end of their three-year term.
- f) The Executive Director of Grants and Sponsored Research Development (GSRD) shall serve as ex-officio member of the IACUC.
- g) The Provost shall appoint an IACUC Chair for a one-year term at the beginning of the academic year.
- h) In the event of resignation of the Chair, the Provost will appoint a new chair from the existing committee membership to complete the departing Chair's term of office.
- i) In the event of resignation from the committee of a voting member, the IACUC Chair will identify and recommend a replacement for appointment by the Provost. The member appointed to fill the vacancy will assume the remaining term of the departing member.
- j) During the Spring semester of each year, the Provost shall issue a request to the faculty for nominations to replace outgoing IACUC members. Current IACUC members may also submit nominations.
- k) A simple majority of the voting members shall constitute a quorum.

4) **IACUC Functions**

- a) Review, at least once every six months, the university's program for humane care and use of animals, using title 9, chapter I, subchapter A – Animal Welfare, as a basis for the evaluation, and inspect, at least once every six months, all of the animal facilities, including animal study areas, using title 9, chapter I, subchapter A – animal Welfare, as a basis for evaluation; provided, however, that the animal areas containing free-living wild animals in their natural habitat need not be included in such inspection.

The IACUC will prepare reports of its evaluations and inspections and submit the reports to the Provost.

- i) The reports shall be reviewed and signed by a majority of the IACUC members and must include any minority views.
 - ii) The report shall be updated at least once every six months upon completion of the required semiannual evaluations.
 - iii) The official copy of the report will be maintained in the GSRD office and made available to APHIS and to officials of funding agencies for inspection and copying upon request.
 - iv) The report must contain a description of the nature and extent of adherence to the Animal Welfare Act, must identify specifically any departures from the provisions of Title 9, Chapter I, Subchapter A-Animal Welfare, and must state the reasons for each departure.
 - v) The report must distinguish significant deficiencies from minor deficiencies. A significant deficiency is one which, with reference to Subchapter A, and in the judgment of the IACUC and the Provost, is or may be a threat to the health or safety of the animals.
 - vi) If programs or facility deficiencies are noted, the report must contain a reasonable and specific plan and schedule with dates for correcting each deficiency. Any failure to adhere to the plan and schedule that results in a significant deficiency remaining uncorrected shall be reported in writing within 15 business days by the IACUC, through the Provost, to APHIS and any Federal agency funding that activity.
 - vii) The IACUC shall determine the best means of conducting these evaluations and inspections.
 - viii) No committee member wishing to participate in an evaluation or inspection under this section may be excluded.
 - ix) The evaluations may be conducted by a subcommittee of the IACUC of at least two committee members.
 - x) Consultants may be used to assist in the evaluations and/or inspections.
- b) The IACUC shall review, and if warranted, investigate complaints reported by faculty, staff, students, or members of the general public concerning the care and use of animals at Winthrop University.
- c) The IACUC may make written recommendations to the Provost regarding any aspect of the University's animal care and use program, facilities, or personnel training.
- d) Protocol Reviews: The IACUC shall review all research and instruction protocols involving live vertebrate animals conducted at, or under the auspices of, any unit of Winthrop, whether or not supported by an external agency.
- i) The IACUC shall meet at least once per semester and other times as needed to review protocols and to tend to other business.

- ii) The IACUC may solicit ad hoc reviewers with specific expertise to assist in protocol reviews on a case-by-case basis. Ad hoc reviewers may participate, but not vote, in the designated reviews.
 - iii) The IACUC will review and approve, require modifications in (to secure approval), or withhold approval of proposed protocols. Review will ensure compliance with Section 2.31(d) of the Animal Welfare Act.
 - iv) Protocols will contain the following information as stipulated in Section 2.31(e) of the Animal Welfare Act.
- e) On-Going Activity Reviews**
The IACUC will review and approve, require modifications in (to secure approval) or withhold approval of proposed significant changes regarding the care and use of animals in ongoing activities. The IACUC is authorized to suspend an on-going activity that is not being conducted in accordance with the description of that activity provided by the principal investigator and approved by the Committee. The IACUC may suspend an activity only after review of the matter at a convened meeting of a quorum of the IACUC and with the suspension vote of a majority of the quorum present. The IACUC will conduct reviews in order to approve proposed activities or proposed significant changes in ongoing activities to ensure compliance with Section 2.31(d) of the Animal Welfare Act.
- f) The Executive Director, GSRD, shall serve as ex-officio member of the IACUC and will provide announcements and agendas for its meetings, record the minutes of its meetings and serve as a repository of all IACUC correspondence and records. The Executive Director, GSRD, shall also serve as the first and primary contact point for inquiries and submissions to the IACUC and shall forward applications to IACUC members for review.**

The following records will be archived in the GSRD Office:

- i) Minutes of IACUC meetings to include record of attendance, activities of the committee and Committee deliberations;
- ii) Records of proposed activities involving animals and whether IACUC approval was given or withheld;
- iii) Records of semiannual IACUC reports and recommendations (including minority views), prepared in accordance with the requirements of Sec. 2.31 of the Animal Welfare Act;
- iv) Specific records pertaining to the use of dogs and cats as called for in Section 2.35(b),(c) and (d) of the Animal Welfare Act
- v) Records and reports shall be maintained for at least three years. Records that relate directly to proposed activities and proposed significant changes in ongoing activities reviewed and approved by the IACUC shall be maintained for the duration of the activity and for an additional three years after completion of the activity.

Working with the IACUC, the Executive Director, GSRD, shall prepare and submit the annual report to the AC Regional Director by December 1 of each year. This report shall meet the requirements of Section 2.36 of the Animal Welfare Act.

5) Personnel Qualifications:

The Principal Investigator shall be responsible for ensuring that all scientists, research technicians, animal technicians, and other personnel involved in animal care, treatment, and use are qualified to perform their duties.

Training and instruction of personnel must include guidance in at least the following areas:

- a) Humane methods of animal maintenance and experimentations, including:
 - i) The basic needs of each species of animal;
 - ii) Proper handling and care for the various species of animals used;
 - iii) Proper pre-procedural and post-procedural care of animals;
 - iv) Aseptic surgical methods and procedures.
- b) The concept, availability, and use of research or testing methods that limit the use of animals or minimize animal distress
- c) Proper use of anesthetics, analgesics, and tranquilizers for any species of animals used,
- d) Methods whereby deficiencies in animal care and treatment are reported, including deficiencies in animal care and treatment reported by any employee of the facility. No facility employee, committee member, or laboratory personnel shall be discriminated against or be subject to any reprisal for reporting violations of any regulation or standards under the Animal Welfare Act.
- e) Utilization of services (i.e., National Agricultural Library, National Library of Medicine) available to provide information:
 - i) On appropriate methods of animal care and use;
 - ii) On alternatives to the use of live animals in research;
 - iii) That could prevent unintended and unnecessary duplication of research involving animals; and
 - iv) Regarding the intent and requirements of the Animal Welfare Act.

6) Attending Veterinarian and Adequate Veterinary Care – (Note that Winthrop University does not currently have an animal care facility requiring an attending veterinarian under this section and thus this section is suspended until such time that a facility is established).

The University will contract with an attending veterinarian to provide adequate veterinary care to its animals in compliance with the Animal Welfare Act. The attending veterinarian will serve as a voting member of the IACUC.

The contractual agreement shall include a written program of veterinary care and regularly scheduled visits to animal facilities. The program of veterinary care shall include:

- a) Appropriate facilities, personnel, equipment, and services to comply with the Animal Welfare Act;

- b) The use of appropriate methods to prevent, control, diagnose, and treat diseases and injuries, and the availability of emergency, weekend, and holiday care;
- c) Daily observation of all animals to assess their health and well being; provided , however that daily observation of animals may be accomplished by someone other than the attending veterinarian and provided further, that a mechanism of direct and frequent communication is required so that timely and accurate information on problems of animal health, behavior, and well-being is conveyed to the attending veterinarian;
- d) Guidance to principal investigators and other personnel involved in the care and use of animals regarding handling, immobilization, anesthesia, analgesia, tranquilization, and euthanasia; and
- e) Adequate pre-procedural and post-procedural care in accordance with current established veterinary medical and nursing procedures.

7) **Externally or Internally Funded Research Proposals**

- a) Prior to submitting a grant proposal for extramural or intramural funding, or as soon thereafter as possible, the investigator must submit an Animal Care and Use Protocol Review Application (ACUPRA). No animals may be acquired for research or instruction before review and approval of the protocol by the IACUC.

- b) Independent Faculty Research or Laboratory Exercises

All independent faculty research with live vertebrate animals, including pilot experiments conducted to obtain data necessary to the preparation of extramural grant proposals, and other laboratory exercises require approval of the experimental protocols and husbandry methods by the IACUC before being initiated.

- c) Field Research and Biological Surveys

All fieldwork involving live vertebrate species, whether research or instruction, must be approved by the IACUC prior to initiation. Particular attention must be given to activities that may involve animals that are on the State or Federal threatened, endangered, or protected species lists, that require special permits for handling, or that involve use of equipment and procedures that may be construed by some as inhumane.

- d) Independent Student Research (excluding Bachelor's Essay and Master's Thesis)

Faculty members who supervise independent research projects may submit a set of procedures for approval by the IACUC from which the student may select to address the independent research question identified. Procedures not included in those approved for the class instructor and specific for the laboratory will require

submission of an independent request for protocol evaluation. The faculty member should make the students aware that this may delay their research and may adversely affect their ability to complete the course in the prescribed time interval.

e) Bachelor's Essay and Master's Thesis Research.

All Bachelor's Essay and Master's Thesis research protocols, including pilot or exploratory research, must be approved by the IACUC prior to initiation of the work with animals. Student submissions must be cosigned by their major professor or advisor, who will have ultimate responsibility for proper training of the student in the care and handling of the animals and in any specialized techniques required for the research.

f) Classroom Instruction.

All classroom instruction activities involving the use of live vertebrate animals must be approved by the IACUC prior to initiation.

g) General Animal Care and Use Protocols

The researcher or instructor responsible for general animal care and use in any facility must submit an Animal Care and Use Protocol Review Application (ACUPRA) for these tasks. Included under this project classification are procedures for animal display facilities and animal breeding programs. These submissions must include a list of the species to be maintained and an estimate of the numbers of each animal bred or used annually. If animals maintained or produced under such an approval are transferred to a researcher for use in experiments or to an instructor for educational purposes, the investigator or instructor must have a valid IACUC approved project for use and maintenance of the transferred animals and must notify the IACUC of the species and number of animals transferred.

h) The use of live vertebrate animals in research or instruction covered by this policy will not be permitted until the IACUC has reviewed and approved the protocol. The IACUC will not normally consider any requests for retroactive approvals.

i) The IACUC shall report suspended activities or continuing or serious non-compliance with the requirements of this policy to the research investigator's or instructor's Department Chair and Dean and the Provost and to Federal authorities as required by the Animal Welfare Act and the Public Health Service Policy on Humane Care and Use of Laboratory Animals and to any applicable funding agency.

- j) When research or instruction involving live vertebrate animals is conducted through a cooperative project at, or in cooperation with, another entity, all provisions of this policy remain in effect. The Winthrop University IACUC may accept, for the purpose of meeting the IACUC review requirements, the review of an IACUC established in accordance with U.S. Department of Agriculture and U.S. Department of Health and Human Services, Public Health Service, rules and regulations. Such acceptance must be in writing and must be signed by the Chairs of the Institutional Animal Care and Use Committees at each of the cooperating institutions.

8) **Responsibilities of the Research Investigator and Instructor**

- a) Research investigators and instructors who anticipate using live vertebrate animals shall become knowledgeable about, and conduct all research and instruction in accordance with, approved policies governing the care and use of animals.
- b) Research investigators and instructors shall maintain a scholarly, sensitive, and respectful environment during all experimentation and instructional activities involving the use of animals.
- c) Research investigators and instructors shall prepare an Animal Care and Use Protocol Review Application (ACUPRA), giving a complete description of the proposed animal care and use protocol. (Application forms are available from the GSRD Office website.) The investigator or instructor shall make provisions for the humane care and use of the animals and shall ensure that pertinent laws, regulations, and guidelines are observed.
- d) Research investigators and instructors shall ensure that all protocols involving live vertebrate animals are submitted to the IACUC through the GSRD Office and approved by the IACUC prior to initiating the proposed work.
- e) Research investigators and instructors shall submit a protocol modification request to the IACUC when the plans for use of live vertebrate animals previously submitted will be different from that which was initially approved by the IACUC. Investigators or instructors shall not initiate changes without prior IACUC review and approval, except when necessary to eliminate apparent immediate hazards to the animals or to humans.
- f) Research investigators and instructors using live vertebrate animals shall comply with all IACUC decisions, conditions, and requirements.
- g) Research investigators and instructors shall maintain and use animals only in approved animal facilities whenever possible. IACUC approval is required when animal use protocols dictate unusual environmental, dietary, or colony

- requirements that cannot be met in approved animal care facilities.
- h) Research investigators and instructors shall ensure that animal care and use records are retained for a minimum of three years after animal use is completed and that they are easily accessible by U.S. Department of Agriculture inspectors and IACUC monitors. These records may not be removed from the campus without the prior approval of the IACUC. Research investigators and instructors terminating employment with Winthrop University prior to the three year archival period, will remit all records to the Department Chair prior to leaving campus. Records may be returned to the researcher after the three year archival period has ended.
 - i) Research investigators and instructors shall submit continuing review applications to the IACUC as often as, and in the manner, prescribed by the IACUC, but not less than once per year, as long as the use of animals is ongoing.
 - j) Research investigators and instructors shall report promptly to the IACUC, and the Attending Veterinarian any injuries to or illnesses of the animals.
 - k) Research investigators and instructors shall report promptly to the IACUC any non-compliance with the requirements of this policy or the determinations of the IACUC.
 - l) To facilitate the review of research and instructional protocols involving the use of live vertebrate animals, research investigators and instructors are expected to attend IACUC meetings when requested by the IACUC.
 - m) To facilitate the review of research and instructional protocols involving the use of live vertebrate animals, research investigators and instructors may request a meeting with the IACUC. Requests should be submitted to the Chair of the IACUC.
- 9) **Responsibilities of the Department Chair or Cognizant Administrator**
- a) Department Chairs (or cognizant administrators) shall review and approve applications for use of live vertebrate animals in research and instruction prior to their submission to the GSRD Office for consideration by the IACUC.
 - b) Department Chairs (or cognizant administrators), through appropriate procedures established within their respective departments/units, shall review research protocols for ethical considerations and for scientific or/or educational merit.
 - c) In conjunction with research investigators and instructors, Department Chairs (or cognizant administrators) shall report promptly to the IACUC any serious or continuing non-compliance with the requirements of this policy or the

determinations of the IACUC.

- d) To facilitate the review of research and instructional protocols involving the use of live vertebrate animals, Department Chairs (or cognizant administrators) are expected to attend IACUC meetings when requested by the IACUC.